SECTION VI
FUNCTIONAL REQUIREMENTS

VI.A. INTRODUCTION

This section contains the detailed functional requirements pertaining to the proposed CADDIS, as described in Section IV, PROPOSED FUTURE OPERATING ENVIRONMENT. See Section II, RULES GOVERNING COMPETITION; Section V, ADMINISTRATIVE REQUIREMENTS; and Section VIII, PROPOSAL and BID FORMAT for other requirements that must be met in order to be considered responsive to this RFP.

The State has determined that it is best to define its own needs, desired operating objectives, and desired business operations environment. The State will not tailor these needs to fit some solution a Bidder may have available; rather, the Bidder shall propose to meet the State's needs as defined in this RFP.

Some of the requirements may be stated in terms of hardware or software alone; however, this does not preclude the Bidder from proposing a satisfactory solution to these requirements with hardware, software, or a combination of both. Some requirements may refer to the current business processes and terminology that are described in Section III, CURRENT OPERATING ENVIRONMENT, and to the projected future operating environment defined in Section IV, PROPOSED FUTURE OPERATING ENVIRONMENT.

VI.B. BIDDER QUALIFICATIONS REQUIREMENTS

The purpose of the Bidder Qualifications Requirements section is to provide the State the ability to verify the experience and knowledge claims made in the proposal by the Bidder and to assess the Bidder's prior record in providing services to other organizations. If the proposed bid involves the use of any subcontractor, as defined in Section V, ADMINISTRATIVE REQUIREMENTS, where the subcontractor's project involvement exceeds TEN PERCENT (10%) of the proposal Total Cost amount, the subcontractor must also comply with the Bidder qualifications requirements identified in the following sections:

- VI.B.1. - Bidder History and Background;
- VI.B.2. - Customer References;
- VI.B.3. - Firm Project Experience; and
- VI.B.4. - Bidder Project Team Experience.

Bidders are advised that the information and responses to this section are a critical portion of the evaluation and selection process. The Bidder's past record will play a major role in the selection of a Bidder to fulfill the requirements of the RFP.

In addition to contacting organizations provided by the Bidder in response to Section VI.B., BIDDER QUALIFICATIONS REQUIREMENTS, the State may check Bidder Evaluations filed with the Department of General Services (DGS) in compliance with the California Government Code. If the State's evaluation team discovers any negative comments in the evaluations, the Bidder will be asked to provide, in writing, an explanation of the situation and circumstances. Bidders are advised that if such explanations are requested and provided by the Bidder, the submitted explanation may or may not erase or mitigate the concerns of the State's evaluation team. The information contained in the explanation may be used by the State in determining the Bidder's responsiveness to this requirement.

VI.B.1. Bidder History and Background

Within the proposal, the Bidder must provide information on the Bidder's internal organization. If the Bidder's solution involves subcontractors, the response must indicate the following information for the prime Bidder and all subcontractors. This information must include:

- name of the firm(s) submitting the proposal;
- mailing address;
- contact person and title;
- contact telephone number(s) and fax number(s);
- brief history and background about the Bidder's company;
- services and products offered by the Bidder’s company;
- number of employees;
- office locations;
- general information about the Bidder's organization; and
- identification whether the firm is the prime Bidder or subcontractor on this project.

***Evaluation Points:* Bidder History and Background**

This is a mandatory requirement and must be satisfied by the Bidder’s proposal. Bidder History and Background is a pass/fail evaluation requirement; no points are awarded for this requirement.

VI.B.2. Customer References

Within the proposal, the Bidder must provide at least three completed Customer Reference Forms. If the Bidder's solution involves subcontractors **with greater than 10% of the budget**, the response must indicate the following information for the prime Bidder **and** all subcontractors. The Customer Reference Form is included as **EXHIBIT VI-A,** CUSTOMER REFERENCE FORM**.** The Bidder must select at least three prior customers (current customers may not be used) as references based upon the similarity of those contracts to the type of work required to satisfy the specifications of this RFP.

Bidder-selected customers must complete the Customer Reference Form and the customer contact must sign and date the form. A separate Customer Reference Form must be used for each referenced customer. To eliminate the potential for a conflict in interest, the Bidder may not utilize the California Department of Developmental Services (DDS) or any of the twenty-one Regional Centers (RCs) as a reference.

The references provided must be recent, whereby the Bidder must have implemented the respective system within the last ten (10) years. The references provided must be organizations whose business processes are similar to those performed by the DDS and/or the twenty-one Regional Centers in terms of functionality, complexity, and transaction volume. Specifically, the referenced customer/project will be considered comparable if they contain the following minimum attributes:

- Software that supports the case management and/or fiscal areas in the healthcare or human services industry;
- A system that has been implemented in a distributed environment (e.g., multiple office locations);
- A system that operates in a client-server environment;
- A system that utilizes a relational database; and
- A system environment with a minimum of one hundred (100) concurrent on-line users.

Evaluation Points: **Customer References**

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: ***http:/osmb.dgs.ca.gov/cscr/***

Area of Evaluation	Minimum	Maximum
Total Customer References	**15**	**30**

VI.B.3. Firm Project Experience

The Bidder must provide the firm's project experience information for each of the following Firm Project Experience requirement areas:

- Project Management Experience;
- Systems Development Experience;
- Technical Architecture Experience; and
- Distributed Implementation Experience.

The Bidder must have a minimum of five (5) years of experience in each Firm Project Experience requirement area. Bidders that do not meet the minimum number of years of experience in any one of the project experience requirements will be considered non-responsive. The Bidder may receive credit for concurrent projects. Bidders may receive more points during the bid evaluation if the Bidder has more than the minimum requested project experience. Please refer to the RFP-DDS-0016 Evaluation Process document at the following website for additional information: ***http://www.osmb.dgs.ca.gov/cscr/.*** The minimum and maximum available points for each requirement are specified below. Each project experience requirement will be evaluated and scored separately.

Within the proposal, the Bidder must provide sufficient information about their project experience so the State can determine if the Bidder performed in the capacity/role to meet the experience requirement. For **each** Firm Project Experience requirement area, the Bidder must provide the following detailed information:

- Firm Project Experience requirement area (i.e., Project Management, Systems Development, Technical Architecture, or Distributed Implementation);
- Project name;
- Customer name and address;
- Customer contact name and telephone number;
- Project start and end dates;
- Brief description of the project (must include functional area(s), number of users, and number/location of sites); and
- Names of proposed CADDIS project team members who participated on the project.

The state reserves the right to contact any and all of the customer references to validate the Bidder's response to the RFP. If the Bidder's response can not be validated by the references provided, the bid may be deemed non-responsive and rejected.

Evaluation Points: **Firm Project Experience**

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
Project Management Experience The Bidder must have a minimum of 5 years of experience managing software implementation projects. The Bidder must provide the detailed information identified above for previous projects that reflect the Firm's Project Management experience.	**0** (< 5 years experience)	**15** (>= 15 years experience)
Systems Development Experience The Bidder must have a minimum of 5 years of project experience in designing, developing, and implementing distributed, multi-user software utilizing a structured system development methodology. The Bidder must provide the detailed information identified above for previous projects that reflect the Firm's Systems Development experience.	**0** (< 5 years experience)	**15** (>= 15 years experience)
Technical Architecture Experience The Bidder must have a minimum of 5 years of project experience in designing and implementing on the Bidder's proposed hardware, software, database, and network environment. The Bidder must provide the detailed information identified above for previous projects that reflect the Firm's Technical Architecture experience.	**0** (< 5 years experience)	**15** (>= 15 years experience)
Distributed Implementation Experience The Bidder must have a minimum of 5 years of project experience in training and implementing software for multiple users at multiple sites. The Bidder must provide the detailed information identified above for previous projects that reflect the Firm's proposed Distributed Implementation experience.	**0** (< 5 years experience)	**15** (>= 15 years experience)
Total Firm Project Experience	**0**	**60**

VI.B.4. Bidder Project Team Experience

The Bidder will be responsible for providing all staff persons required to design, develop, and implement the CADDIS. The Bidder's actual project team must, at a minimum, include the staff stipulated in the Bidder's Final Proposal. **All Project Team Members must perform their work on the CADDIS project at the DDS Headquarters in Sacramento, California, unless formal permission from the State to deviate is granted**.

The State recognizes that an unusual circumstance may result in the change of a proposed staff person identified in the Bidder's proposal. Before the start of the project, a Bidder may substitute staff personnel at the time of contract implementation who are different from those offered at the time of bid submission ONLY if such substitution personnel have equivalent skills and experience. Such skills must be identified on a Project Team Experience Matrix sheet and the staff's resume must be submitted to the State for consideration and approval prior to the start date for such personnel. **If the Bidder must substitute the Project Manager, the Bidder must submit to the State, <u>in writing</u>, the reason for the change and provide a completed Project Team Experience Matrix and resume for the substitute personnel. The State will either approve or reject the substitution. If the Bidder is unable to provide a suitable substitution within five (5) business days, the State reserves the right to consider the contractor in default.**

The State recognizes that a resignation, or other such event, may cause team members to fail to be available to the Bidder after the start of a project. If this should occur, the Bidder must agree that the State reserves the right to approve or reject all replacement project team members assigned by the Bidder to this project. The Bidder will not be allowed extra time or money to replace personnel. State approval for Bidder staff replacement will be considered at the State's discretion. The replacement project team member must possess the same or a higher level of technical expertise and/or experience than the original staff person leaving the project. The Bidder must notify the DDS Program Manager of personnel vacancies and provide resumes of replacement staff as support for the Bidder's compliance with this provision. This includes substitutions made between submittal of the Final Proposal and the actual start of the project, as well as staffing changes that may occur during the course of the contract. Such notification and proposed staff replacement must be furnished to the DDS Program Manager within fifteen (15) business days of the first known absence or loss of the original person. The State reserves the right to require replacement of Bidder staff on an individual basis by giving the Bidder ten (10) business days written notice.

It is the intention of the CADDIS project that two-way communication and knowledge transfer occurs throughout the project between DDS and the Software Vendor. To support this, DDS will provide the following minimum staff to the project. The Bidder must provide all other required staff.

- One full-time DDS Program Manager at 100% for the duration of the CADDIS project;
- One full-time Project Manager at 100% for the duration of the CADDIS project;
- Two part-time Data Specialists at 50% for Phase 2 and Phase 3 of the CADDIS project;
- Two part-time Programmer Analysts at 50% for Phase 2 of the CADDIS project; and
- Two part-time Help Desk/Trainers at 50% for Phase 3 of the CADDIS project.

Within the proposal, the Bidder must provide information that can be used by the State to evaluate the Bidder's intended project team and organization. This information must include the following:

1. Project organizational chart; and

2. Proposed staff person(s), their respective roles and responsibilities, and their estimated start and end date on the project for each of the following key roles.

    a. Project Manager;

    b. Technical Architect;

    c. Database Administrator;

    d. Systems/Business Analyst;

    e. Applications Developer;

    f. Tester; and

    g. Trainer.

The Project Team Experience Matrix forms, included as **EXHIBIT VI-B,** PROJECT TEAM EXPERIENCE MATRIX**,** must be completed by the Bidder for **each** proposed staff person who is performing one of the key roles identified above. If a proposed staff person will perform in multiple key roles on this project, a Project Team Experience Matrix form must be completed for **each role** the proposed staff person will perform. By completing the Bidder Project Team Experience Matrix for **each** proposed staff person playing a role listed below, the Bidder must provide the following information:

- Proposed staff person’s name;
- All customers and respective projects the candidate served in the same role;
- Project participation start and end dates for each respective customer/project;
- Technical skills used (e.g., programming languages, database management system, hardware environment, etc.) on each respective customer/project;
- Number of years of experience gained at each respective customer/project;
- Total number of career years experience the proposed staff person has in the role; and
- Proposed staff person’s resume.

If the information on the Project Team Experience Matrix and the proposed staff person’s resume are not clear to the evaluation team, the State reserves the right to request additional information to verify the response. This information will be requested and evaluated prior to the opening of the cost proposal. It is the Bidder's responsibility to ensure the resumes and Project Team Experience Matrix support the responses in the bid. Bid responses that cannot be substantiated by the resumes will not be awarded points.

Evaluation Points: Bidder Project Team Experience

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/*.

Area of Evaluation	Minimum	Maximum
1. Project Organization Information The Bidder must provide a project organizational chart and identify each proposed staff person, their respective roles and responsibilities, and their estimated start and end date on the project.	**N/A** **Mandatory**	**N/A** **Mandatory**
2a. Project Manager The Project Manager must have a minimum of 7 years of experience managing software development and implementation projects. The Bidder must provide a completed Bidder Project Team Experience Matrix and resume that reflects the staff person's Project Management experience.	**0** (< 7 years experience)	**10** (>= 12 years experience)
2b. Technical Architect The Technical Architect must have a minimum of 5 years of experience designing and implementing technical infrastructures using the hardware, software, and network components identified in the Bidder's proposed CADDIS solution. The Bidder must provide a completed Bidder Project Team Experience Matrix and resume that reflects the staff person's Technical Architect experience.	**0** (< 5 years experience)	**10** (>= 10 years experience)
2c. Database Administrator The Database Administrator must have a minimum of 5 years of experience designing and implementing the Data Base Management Software (DBMS) identified in the Bidder's proposed CADDIS solution. The Bidder must provide a completed Bidder Project Team Experience Matrix and resume that reflects the staff person's Database Administrator experience.	**0** (< 5 years experience)	**8** (>= 10 years experience)
2d. Systems/Business Analyst The Systems/Business Analyst must have a minimum of 5 years of experience in assessing current systems and processing, defining business requirements and rules, and assisting in the design of software components (e.g., modules, screens/forms, and/or reports). The Bidder must provide a completed Bidder Project Team Experience Matrix and resume that reflects the staff person's Systems/Business Analyst experience.	**0** (< 5 years experience)	**8** (>= 10 years experience)
2e. Application Developer The Application Developer must have a minimum of 5 years of experience in developing software components, modules, screens/forms, and/or reports using the software language and database management software identified in the Bidder's proposed CADDIS solution. The Bidder must provide a completed Bidder Project Team Experience Matrix and resume that reflects the staff person's Applications Developer experience.	**0** (< 5 years experience)	**8** (>= 10 years experience)
2f. Tester The Tester must have a minimum of 5 years of experience in developing test cases and performing systems and integration testing using a structured testing approach. The Bidder must provide a completed Bidder Project Team Experience Matrix and resume that reflects the staff person's Tester experience.	**0** (< 5 years experience)	**8** (>= 7 years experience)
2g. Trainer The Trainer must have a minimum of 5 years of experience in developing software training materials and conducting software training classes. The Bidder must provide a completed Bidder Project Team Experience Matrix and resume that reflects the staff person's Trainer experience.	**0** (< 5 years experience)	**8** (>= 7 years experience)
Total Bidder Project Team Experience	**0**	**60**

VI.C. PROJECT MANAGEMENT APPROACH REQUIREMENTS

The Bidder will be responsible for providing all staff persons required to define the Project Management Approach that will be used to manage the design, development, and implementation of the new CADDIS. The project management components that the Bidder is responsible for include, but are not limited to, project workplans, project deliverables, schedules and budgets, risk management, change management, issue management, and quality management. Some recommended project management guidelines are provided in the Bidder's Library. This section describes in more detail the technical requirements related to the Project Management Approach.

VI.C.1. Project Workplan

The Bidder will be responsible for the development and maintenance of a detailed work breakdown structure that must include, but is not limited to, the identification and definition of all project phases, stages, and tasks and the respective duration of tasks, dependencies of tasks, milestones, and responsible party (e.g., Software Vendor, DDS, RC, HHSDC, etc.). The Bidder is also responsible for identifying within the Project Workplan all deliverables to be produced and the procurement, receipt, and installation dates for hardware, software, and network, as applicable. The Bidder must develop the project workplan using Microsoft Project 98 (or later version, if adopted by DDS). Throughout the project, the Project Workplan must be updated accordingly, identifying new tasks as well as tasks completed. The updated workplan must be provided to the CADDIS Program Manager with the first status report of each month.

Within the proposal, the Bidder must provide a detailed project workplan that includes the following components:

1. Identification of each phase, stage, and respective tasks and the duration of each phase, stage, and respective tasks;

2. Identification of task dependencies;

3. Identification of milestones (including submission of deliverables to DDS, hardware and software procurement, receipt, and installation dates); and

4. Identification of tasks requiring DDS, Regional Center, and/or Health and Human Services Data Center (HHSDC) participation.

Evaluation Points: **Project Workplan**

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Workplan Identifies All Phases, Stages, and Tasks and their respective duration	0	15
2. Workplan Identifies Task Dependencies	0	5
3. Workplan Identifies Milestones	0	5
4. Workplan Identifies Tasks Requiring DDS, RC, and/or HHSDC Participation	0	5
Total Project Workplan	0	30

VI.C.2. Project Deliverables

Project Deliverables will be required during each stage of the CADDIS project. The Bidder is required to use the standard Microsoft Office 97 (or later version, if adopted by DDS) product suite in the preparation of all project correspondence, reports, plans, and deliverables unless formal permission from the State to deviate is granted. Each project workstation provided by DDS will be equipped with Microsoft Office 97 (or later version, if adopted by DDS).

Project Deliverables must be prepared and submitted to DDS by their scheduled completion date. The Project Deliverables must comply with contractual requirements. The DDS Program Manager and the Independent Verification and Validation (IV&V) contractor is responsible for reviewing a Draft Version of each Project Deliverable within ten (10) State business days from its receipt. If deemed necessary by the DDS Program Manager, a formal walkthrough session will be conducted. The walkthrough sessions will be organized and scheduled by the Bidder, with assistance from the DDS. A Final Version of each Project Deliverable must be provided to the DDS Program Manager. Final deliverables that meet contractual requirements will be approved and the DDS Program Manager will sign the respective Project Deliverable Specification Sheet provided in the contract. Project Deliverables that do not meet contractual requirements will be returned to the Bidder as incomplete. Project Deliverables submitted after their scheduled completion date will be reviewed in a timely manner, but are not subject to the ten (10) State business days turnaround requirement.

The Bidder must store project work papers by the corresponding project Stage. All work papers must be stored at DDS' site. All work papers are considered the property of the State. All work in progress is considered the property of the State.

At a minimum, the following Project Deliverables must be submitted to DDS during the respective stage of the project. Each stage is described in Section I.B.2., PROJECT STRUCTURE. Deliverables identified in bold and with an asterisk (*) are defined as data deliverables and a <u>document outline of these deliverables is required to be included in the Bidder's proposal</u>. Data deliverables are defined as documents; these are often plans and strategies.

Minimum Project Deliverables

Stage	Deliverable	Definition
Project Start-up	(1) **Project Workplan***	Defines the project timeline, tasks to be performed, task dependencies, resource assignments, effort estimates, and milestones.
	(2) **Quality Management Plan***	Describes the overall approach and techniques employed by the Software Vendor to ensure that deliverables are methodically assessed and scrutinized prior to submission to the DDS for review and acceptance.
	(3) **Technology Architecture Plan***	Provides a detailed inventory and explanation of all the hardware, software, and network elements associated with the Development, Test, and Production Environments for CADDIS. Information must include definition of the physical hardware devices, operating systems, memory, network schema, network protocols, network operating systems, network monitoring and tuning software, gateways and connectivity software, DBMS, application architecture, configuration management software, and security software.
	(4) **System Development Plan***	Describes the overall approach and Systems Development Lifecycle methodology for developing the a) software for CADDIS, b) data extract files for interfacing to the Electronic Billing System (EBS), c) data extract files to support miscellaneous legacy programs, and d) applications for the Internet (if applicable).

Minimum Project Deliverables		
Stage	**Deliverable**	**Definition**
Project Start-up ***(continued)***	(5) **Security Strategy***	Describes the security tools to be implemented, security infrastructure that will be established (i.e., type and level of hardware, network, database, and software security), and overall features of the security system that will satisfy HIPAA security and privacy requirements.
	(6) **Training Plan***	Defines the overall approach for training Regional Center and DDS technical staff, Certified CADDIS Trainers, and end-users on CADDIS. The plan must identify the training curriculum, the respective target audience, the tools that will be utilized, the proposed location and timing of the training, and the degree of involvement required from the DDS and/or Regional Center staff.
	(7) **Transition and Conversion Plan***	Describes the overall approach for transitioning from the current environment to the new CADDIS production environment. This plan must address the conversion of hardware, software, network, data, and interfaces.
	(8) **System Maintenance Plan***	Provides a detailed description of the CADDIS software and hardware maintenance including preventive maintenance and on-call maintenance, response time, personnel, and DDS/RC involvement. This plan must also address how the Bidder will ensure proper software versions on each server/host/Regional Center, as well as their proposed approach for implementing software fixes and upgrades pre- and post-implementation. Finally, the plan must address managing software and source code components and versions during Development, Test, Implementation, and Post-Implementation.
	(9) Project Reporting	Provides a weekly and monthly summary of the project events and assesses progress relative to the project's goals and schedule. The Contractor must attend quarterly CADDIS Steering Committee meetings, ~~bi~~monthly status meetings, conduct weekly status update meetings (face-to-face), provide a written weekly status report and a written monthly project progress report to the CADDIS Program Manager.
Design	(10) Logical Data Model	Represents the logical view of the tables, columns, and basic characteristic of the CADDIS database. This must be represented in an Entity Relationship Diagram (ERD).
	(11) System Design	Provides a detailed view of the CADDIS hardware, software, and network architecture. Defines how each requirement will be satisfied by the software via a requirements traceability matrix (e.g., functionality that is custom developed vs. contained within the package software, additional packaged software that may be used, number). In addition, the System Design documents the software designs for all windows and reports (including package-provided windows and reports), and the number and type of extract files to support the EBS and other legacy system data needs. ~~and type of extract files to support the EBS and other legacy system data needs). Provides the window and reports designs for all windows and reports, including custom and package-provided windows and reports.~~
Development	(12) Test Plan	Describes in detail the plan that will be used for each of the following testing events: Unit Testing, Systems and Integration Testing, and User Acceptance Testing (i.e., 'Pilot'), including stress testing and performance testing. The Test Plan must describe the testing team members and roles, test environment, test tools, and testing results tracking software, test data source, approach to developing test cases, and test case formats and types.

Minimum Project Deliverables		
Stage	**Deliverable**	**Definition**
Development ***(continued)***	(13) CADDIS Software	Integrated case management, fiscal accounting, Internet application (if applicable), and reporting system, and respective database(s), that satisfy all mandatory requirements defined in the RFP and desirable requirements specified in the Software Vendors Final Proposal.
	(14) CADDIS Extract Data Files	Extract files containing CADDIS data that will be used as input into the EBS and extract data files that will be used as input into the existing ADABAS Statewide Database repository to support existing miscellaneous legacy programs. CADDIS must also be able to accept extract files generated from DDS' Electronic Billing System that includes updated turn-around invoice information and Consumer participation information.
Data Conversion	(15) Data Mapping Document	Maps the existing UFS and SANDIS data and respective files to the CADDIS tables and columns.
	(16) Data Conversion Software	Software and temporary tables and files that are required to perform the conversion of data from the existing UFS and SANDIS environment to the CADDIS environment.
Testing	(17) Systems and Integration Test Environment	Establishment of the CADDIS test environment including the software library environment, testing team, documented testing procedures, test cases, test tools, testing results tracking software, and converted test data that will be used throughout Systems and Integration Testing.
	(18) Systems and Integration Test Results	Summarizes the results of the System and Integration Testing, including stress testing and performance testing.
	(19) Backup and Recovery Plan	Defines the backup and recovery plans for the CADDIS.
Pilot	(20) Training Materials	The Training curriculum and related Instructional and classroom materials that will be utilized and distributed in the CADDIS Train-the-Trainer courses and end-user training courses.
	(21) User Manual, Systems Operating Manual, and Help Desk Manual	The User Manual documents the procedures the end-user would utilize to operate all modules of CADDIS, as well as the reporting tool. The Systems Operating Manual documents the phases, steps, and/or processes needed to operate the application and system software, including but not limited to application set up, user ID management, database maintenance and tuning, database and application recovery, systems back up and recovery, and tuning and client/server operations. This will be used by DDS and Regional Center technology support staff. The Help Desk Manual documents troubleshooting techniques, problem resolution, escalation procedures and roles and responsibilities between DDS and the Bidder post-implementation.
	(22) Pilot Environment	Establishment of the hardware, software, network, converted production data, and pilot implementation teams.
	(23) Pilot Results	Summarizes the results of the pilot (i.e., User Acceptance Testing) including stress testing results, performance testing results, system bugs/corrections, data problems/corrections, and system backup and recovery results.

Minimum Project Deliverables		
Stage	**Deliverable**	**Definition**
Implementation	(24) Production Environment Acceptance	Establishment and acceptance by DDS/RC of the hardware, software, network, and converted production data and the stress testing and performance testing results. This deliverable will be repeated for as many implementation cycles defined by the Bidder. An implementation cycle is defined as the implementation of the production CADDIS environment at a defined number of Regional Centers.

***** Data Deliverable: Data deliverables are defined as documents, often plans and strategies. For each data deliverable, an outline of the document **must** be provided in the Bidder's proposal.

Within the proposal, the Bidder <u>must</u> provide the following information for each proposed deliverable. At a minimum, the project deliverables identified above must be submitted by the Bidder during the project.

1. Deliverable name, detailed description of the deliverable, phase and stage the deliverable will be provided to DDS, and proposed Bidder staff person(s) responsible for developing the deliverable; and
2. If the deliverable is a data deliverable, the Bidder's proposal **must** include an outline of each deliverable's content. Data deliverables are defined as documents (often plans and strategies) and are identified with an asterisk (i.e., deliverable 1-8, above) in the Minimum Project Deliverable table above. There are eight (8) data deliverables identified above.

***Evaluation Points:* Project Deliverables**

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	**Minimum**	**Maximum**
1. Deliverable Description	**0**	**23**
2. Data Deliverable Outlines *(8 outlines: one for each Data Deliverable; max of 4 points each)*	**0**	**32**
Total Project Deliverables	**0**	**55**

VI.C.3. Project Management

The Bidder is responsible for effectively managing the CADDIS project components specifically related to the design, development, and implementation of the new system. The Bidder's Project Manager must attend quarterly CADDIS Steering Committee meetings and ~~bi~~monthly CADDIS Status meetings and prepare the meeting minutes for each meeting.

To ensure adequate project communication between the Bidder and the State, the Bidder must conduct weekly status update meetings (face-to-face) with the CADDIS Project Manager and CADDIS Program Manager. The Bidder must also provide a written **monthly project progress report** and a written **weekly status report**. The **monthly project progress report** must include, but is not limited to, the following:

- New issues and the anticipated project impact;
- Closed issues and the resolutions;
- Project team hourly report including current month hours and project to date totals for each staff member;
- Contract change proposal status including identification or proposed changes, approved changes, and implemented changes; and
- Updated project work plan.

The **weekly status report** must include, but is not limited to, the following:

- Weekly accomplishments and completed tasks;
- Activities and tasks in progress;
- Upcoming activities and tasks;
- Previous activities and tasks not accomplished, the reason for not accomplishing them, and the plan for bringing them back on schedule, including associated risks and costs;
- Issues and anticipated problems and recommendations for resolution of them; and
- Deliverable status and anticipated due dates.

The project management components for which the Bidder is responsible include, but are not limited to, the project workplan, project risks, project scope changes, project issues, and deliverable quality. The Bidder must provide information that can be used by the State to evaluate the Bidder's knowledge of, and intended approach to, Project Management.

Within the proposal, the Bidder must provide the following information for each area of Project Management.

1. Proposed approach to Project Workplan Management (e.g., updates, tracking actual vs. target, etc.);
2. Proposed approach to Risk Management (e.g., identifying, documenting, evaluating, and resolving project risks, etc.);

3. Proposed approach to Change Management (e.g., identifying, documenting, and evaluating proposed scope changes, etc.);

4. Proposed approach to Issues Management (e.g., identifying, documenting, evaluating, and resolving identified project issues, etc.); and

5. Proposed approach to Quality Management (e.g., quality standards, verifying and validating that the project's work products and deliverables meet the defined quality standards prior to their submission to DDS, etc.).

Evaluation Points: Project Management

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Project Workplan Management	0	3
2. Risk Management	0	3
3. Change Management	0	3
4. Issues Management	0	3
5. Quality Management	0	3
Total Project Management	0	15

VI.D. TECHNICAL APPROACH REQUIREMENTS

The Bidder is responsible for designing, developing, testing, and implementing an integrated, total solution that addresses the business and technical requirements identified in this RFP and the proposed solution discussed in Section IV, PROPOSED FUTURE OPERATING ENVIRONMENT. The Bidder's proposed solution must include all host hardware (e.g., servers), software, and any additional network components that do not exist in the current environment as described in Section III, CURRENT OPERATING ENVIRONMENT. In the Technical Approach section of the proposal, the Bidder must provide a detailed description of the future operating environment and infrastructure and describe the Bidder's overall technical approach to development, conversion, testing, implementation, and maintenance. The following describes in more detail the technical requirements related to the Technical Approach.

VI.D.1. Proposed Solution

The DDS is seeking a total CADDIS solution that is based on a best value procurement and satisfies the requirements specified in Section VI.E., TECHNICAL REQUIREMENTS, and Section VI.F., BUSINESS REQUIREMENTS. As such, the Bidder must fully define, and will be responsible for, all components of the CADDIS solution. This includes all hardware, software (including application software and software that will be used for standard and ad hoc reporting), database management systems (DBMS), and network components. In response to this section, the Bidder must provide an overview of the proposed CADDIS system, including proposed hardware, software, and technical architecture, and the proposed technical approaches to addressing the manual worksteps and data redundancy that exists in the current environment as a result of the following current processing problems:

- Duplicate assignment of Consumer identifiers and Vendor identifiers;
- Duplicate data entry and data redundancy for the same Consumer;
- Manual, paper-based transfers of a Consumer's case from one Regional Center to another Regional Center; and
- Duplicate data entry and data redundancy of Vendors that provide services to multiple Regional Centers.

VI.D.1.a. Proposed Solution: Technology Components

The CADDIS total solution <u>must fully replace</u> the current case management and fiscal accounting functionality currently provided by the San Diego Information System (SANDIS) and Uniform Fiscal System (UFS).

The Bidder may leverage the current hardware and network environment within the DDS and the Regional Centers. However, it is highly desirable if the Bidder's CADDIS solution operates on one of the following standard operating systems and hardware platforms currently supported by HHSDC:

HHSDC Standard Operating System

- OS/390-JES2;
- VM;
- Solaris;
- AIX;

- Windows NT/Server; and
- Windows 2000.

HHSDC Standard Hardware

- Compaq Proliant Series;
- Sun Servers;
- IBM RS6000 Servers;
- IBM 9672-R96;
- IBM 9672-R86;
- IBM 9672-RB5; and
- IBM 9674-C05.

The State of California has entered into an Enterprise License Agreement (ELA) and Volume Purchase Agreement (VPA) with Oracle Corporation to provide State employees with the right to use Oracle Database. This license covers full use of Oracle database by State employees and State contractors for both development and deployment purposes.

If an Oracle database is recommended as part of a proposed solution, the agencies must procure Oracle database and maintenance through the Oracle Enterprise License Agreement that the State has entered into with Oracle Corporation.

In addition, Volume Purchase Agreement special pricing is available to state and public entities empowered to expend public funds (excluding the CSU system, UC system and Community Colleges). These entities have the option to purchase additional Oracle products (no limit on the order size) at the Special Offer Discount to fifty percent (50%), through September 1, 2006. Oracle products must be purchased through the VPA if it is determined to be the most cost-effective method of obtaining the requisite products. Resellers may purchase products through the VPA on behalf of state and authorized public entities.

For further information, please refer to Oracle Enterprise License Agreement and other related information at http://www.pd.dgs.ca.gov/.

NOTE: The State will determine if the Bidder or the State will purchase all or part of ~~that~~ the detailed hardware or software proposed by the Bidder. This determination will be made by the State at the time of award.

It is also highly desirable that the case management and fiscal accounting functionality of CADDIS is based on an existing, commercial off-the-shelf (COTS) software product. A COTS software product is defined as possessing the following elements:

- Software that is pre-written, extensively tested, packaged, and commercially available for sale in the marketplace;
- Software that has been officially licensed;
- Software that is already manufactured and is available from stock; and

- Software that has been previously implemented at a minimum of ten (10) sites.

For each software product, productive use information must be provided in response to Section V, ADMINISTRATIVE REQUIREMENTS.

Within the proposal, the Bidder must provide the following information to enable the State to assess the technology components that will be utilized in the proposed CADDIS solution. High-level diagrams showing major system components, their interrelationships, and supporting diagrams and materials, must be included to provide the State a visual, as well as narrative, representation of the future operating environment. The following information must be provided:

1. The proposed network infrastructure that will be utilized in the CADDIS solution and the respective components that are the responsibility of the 1) Bidder, 2) DDS, or 3) Regional Centers during the project and post-implementation;

2. The proposed hardware and operating system platform that will be included in the CADDIS solution and the respective components that are the responsibility of the 1) Bidder, 2) DDS, or the 3) Regional Centers during the project an post-implementation;

3. The proposed software components that are included in the CADDIS solution to satisfy case management requirements, including software language, software version(s), DBMS, COTS software product(s) (as applicable), software modules, standard and ad hoc reporting software, and planned number of installations; and

4. The proposed software components that are included in the CADDIS solution to satisfy fiscal accounting requirements, including software language, software version(s), DBMS, COTS software product(s) (as applicable), software modules, standard and ad hoc reporting software, and planned number of installations.

Evaluation Points: **Proposed Solution: Technology Components**

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Network Infrastructure Supports Future Operating Environment	N/A Mandatory	N/A Mandatory
2. Operating System Conforms to HHSDC Standard	0	10
3. Hardware Conforms to HHSDC Standard	0	10
4. COTS Software Product as Basis for Case Management	0	40
5. COTS Software Product as Basis for Fiscal Accounting	0	40
Total Proposed Solution: Technology Components	0	100

VI.D.1.b. Proposed Solution: Method

Within the proposal, the Bidder must provide the following information to enable the State in assessing the proposed technical approach that will be used by the CADDIS solution in addressing current key problems that result in several manual worksteps and data redundancy in the current systems. High-level diagrams showing the interrelationships or system components and modules, and supporting diagrams and materials, must be included to provide the State a visual, as well as narrative, representation of the future operating environment. The following information must be provided:

1. Proposed approach for eliminating duplicate assignment of Consumer identifiers and Vendor identifiers;

2. Proposed approach for sharing Consumer data across Regional Centers to eliminate duplicate data entry and data redundancy;

3. Proposed approach for transferring a Consumer's case from one Regional Center to another Regional Center to eliminate paper-based transfers and increase overall accuracy and efficiency; and

4. Proposed approach for sharing Vendor data across Regional Centers and enabling a single Vendor to provide services to multiple Regional Centers without duplicating Vendor data within CADDIS.

Evaluation Points: **Proposed Solution: Method**

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Approach for Eliminating Duplicate Assignment of Identifiers	0	10
2. Approach to Sharing Consumer Data Across RCs	0	10
3. Approach to Transferring a Consumer's Case	0	10
4. Approach for Sharing Vendor Data Across RCs	0	10
Total Proposed Solution: Method	0	40

VI.D.2. Systems Design and Development Approach

A System Development Lifecycle (SDLC) Methodology describes the overall process the Bidder will use to plan and execute the tasks needed to develop and/or customize, test, and implement the CADDIS. The methodology includes the Bidder's approach to each of the project's Phases and Stages, as described in Section I.B.2., PROJECT STRUCTURE, and the respective techniques that will be utilized. The overall Systems Development Lifecycle Methodology used by the Bidder must be a structured, documented, and proven approach that is generally accepted as an industry standard. During the Project Start-up stage, the Bidder's systems design and development approach must be described in detail within the System Development Plan deliverable, identified in Section VI.C.2., PROJECT DELIVERABLES.

The healthcare industry is undergoing changes as a result of new legislation. The Health Insurance Portability and Accountability Act (HIPAA) was signed into federal law in 1996 (PL 104-191). **The Bidder's CADDIS total solution must be HIPAA compliant**. There are several areas of the HIPAA regulation including Transactions and Code Sets (specifically ANSI X12N 835 and ANSI X12N 837), National Provide Identifier, National Employer Identifier, Security, Privacy, National Health Plan Identifier, Claims Attachments, Enforcement, and National Individual Identifier. At the time of the release of this RFP, all HIPAA requirements have not been determined by the federal government. As HIPAA requirements are defined and released by the federal government, the Bidder is required to incorporate the needed functionality in the CADDIS total solution to satisfy the requirements. All software updates, whether pre- or post-implementation, must be completed ninety (90) days prior to the federally-defined compliance due date in order to provide DDS sufficient time to review that the software does comply with the regulations. The current compliance due date defined by the federal government is within twenty-four (24) months of the respective ruling. The Bidder must provide this level of support for the duration of this contract (i.e., throughout the CADDIS project, warranty period, and maintenance period).

In order to satisfy the technical and business requirements identified in Section VI.E., TECHNICAL REQUIREMENTS, and Section VI.F., BUSINESS REQUIREMENTS, the Bidder may be required to make customizations to an existing commercial, off-the-shelf (COTS) software package. The Bidder must provide the proposed approach for determining and developing software package customizations. In addition, the Bidder is responsible for designing and developing extract files containing CADDIS data that will be used as input into the Electronic Billing System (EBS) and extract data files that will be used as input into the existing ADABAS Statewide Database repository to support existing miscellaneous legacy programs. CADDIS must also be able to accept extract files generated from DDS' EBS that includes updated turn-around invoice information and Consumer participation information.

Within the proposal, the Bidder must provide information that can be used by DDS to evaluate the Bidder's proposed approach to the design and development of CADDIS. At a minimum, this information must include the following:

1. Proposed approach for satisfying HIPAA requirements;

2. Proposed approach for determining and developing customizations; and

3. Proposed approach for legacy-formatted data files (e.g., designing files, developing files, etc.).

Evaluation Points: Systems Design and Development Approach

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Approach to Satisfying HIPAA Requirements	0	10
2. Approach to Customizations	0	10
3. Approach to Legacy-formatted Data Files	0	10
Total Systems Design and Development Approach	0	30

VI.D.3. Testing Strategy

Testing is performed to validate that the design of a system reflects the business and technical requirements and that the system will operate in the production environment. In order to ensure that each component of the CADDIS has been adequately tested prior to implementation, the Bidder is responsible for performing and/or overseeing the following three levels of testing: Unit Testing, Systems and Integration Testing, and User Acceptance Testing. These testing levels are described below:

- **Unit Testing**
  Unit Testing is performed by an application developer or tester on an individual software module or component. During Unit Testing, the developer or tester must test all unit logic paths and conditions for accuracy, efficiency, and conformance to the respective requirements. Unit Testing must be conducted in the Development Environment.

- **Systems and Integration Testing**
  Systems and Integration Testing is testing the integration of the individual modules within a subsystem, subsystems within a system, and the components of the overall CADDIS. In addition, performance and stress testing of the CADDIS application and related network must be conducted. Systems and Integration Testing must be conducted in the Test Environment. Performance and stress testing must be conducted in the Test Environment and Production Environment. In addition to the Bidder, a minimum of three (3) DDS and Regional Center staff will also be performing Systems and Integration Testing.

- **User Acceptance Testing**
  User Acceptance Testing provides end-users the ability to test the new system. Pilot testing at two Regional Centers will serve as User Acceptance Testing. The Pilot testing must include a thorough testing of all key Regional Center and DDS business functions and processes as defined in the Section VI.E, Technical Requirements and Section VI.F., Business Requirements.

The Bidder's approach to testing must be comprehensive. During the Design stage, the Bidder must develop a detailed Test Plan, identified in Section VI.C.2., PROJECT DELIVERABLES. The Test Plan must describe in detail the Bidder's specific process for each level of testing. The Test Plan must include the format and quantity of test scripts to be developed, testing participants (including DDS' roles and responsibilities), physical location, testing procedures, test data tables and files, acceptance testing criteria, testing tool(s), tracking systems and processes, problem resolution approach, structured walkthroughs, and testing results report content. The Bidder will develop and implement the test environment and software, test cases, and test data during the Testing stage.

Within the proposal, the Bidder must provide their proposed Testing Strategy. The Testing Strategy must provide information that can be used by DDS to evaluate the Bidder's knowledge of, and intended approach, to testing. The Testing Strategy must include at least the following:

1. Detailed description of the overall approach to Unit Testing (e.g., goals, timing, process to develop test cases, dependent work products and deliverables, testing team members, anticipated test hardware, software, tools, and network environment, etc.);

2. Detailed description of the overall approach to Systems and Integration Testing (e.g., goals, timing, process to develop test cases, dependent work products and deliverables, testing team members, anticipated test hardware, software, tools and network environment, etc.);

3. Detailed description of the overall approach to User Acceptance Testing (e.g., goals, timing, process to develop test cases, dependent work products and deliverables, testing team members, anticipated test hardware, software, tools, and network environment, etc.); and

4. Proposed approach for documenting testing components (e.g., test procedures, test cases, test results, etc.).

Evaluation Points: Testing Strategy

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Approach to Unit Testing	0	5
2. Approach to Systems and Integration Testing	0	5
3. Approach to User Acceptance Testing	0	5
4. Approach to Testing Documentation	0	5
Total Testing Approach	0	20

VI.D.4. Transition and Conversion Strategy

During the Project Start-up stage, the Bidder is required to provide an overall Transition and Conversion Plan, identified in Section VI.C.2., PROJECT DELIVERABLES, that will guide the Bidder and DDS through a structured, orderly, and seamless transition from the existing systems to the new CADDIS. The Transition and Conversion Plan must describe all related tasks, preparatory actions, required resources, time frames, work products, and success criteria for hardware conversion, software conversion, and data conversion. Hardware and software conversion includes the technological transition from the existing system environment (e.g., UFS, SANDIS) to the new CADDIS production environment. Data Conversion includes the manual and automated conversion, as appropriate, of existing data to the new CADDIS. The Bidder is required to convert all data currently contained within each Regional Center's local UFS and SANDIS database. All data conversion must pass consistency and audit checks prior to final data conversion into the production environment. Inconsistencies must be documented and resolved prior to the final conversion.

Within the proposal, the Bidder must provide their proposed Transition and Conversion Strategy. The Transition and Conversion Strategy must provide information that can be used by DDS to evaluate the Bidder's knowledge of, and intended approach to, transition and conversion. This information must include at least the following:

1. Detailed description of the Bidder's proposed approach to hardware conversion (e.g., timeline, participants, contingency for rollback, utilization of parallel operations, etc.);

2. Detailed description of the Bidder's proposed approach to software conversion (e.g., timeline, participants, contingency for rollback, utilization of parallel operations, etc.);

3. Detailed description of the Bidder's proposed approach to data conversion (e.g., timeline, participants, contingency for rollback, etc.); and

4. Proposed approach for documenting system conversion (e.g., procedures, conversion results, etc.).

Evaluation Points: Transition and Conversion Strategy

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Approach to Hardware Conversion	0	5
2. Approach to Software Conversion	0	5
3. Approach to Data Conversion	0	5
4. Approach to Conversion Documentation	0	5
Total Transition and Conversion Strategy	0	20

VI.D.5. Implementation Approach

During the Implementation stage, the new CADDIS components are installed into the production environment for the DDS and all Regional Centers. In order to ensure the smooth implementation of CADDIS, the Bidder must define a structured implementation approach. The goals of the implementation approach must be to reduce project risk, minimize operational disruption, and provide for the successful implementation of the new CADDIS components. During the Project Start-up stage, the Bidder is required to provide an overall Implementation Plan, identified in Section VI.C.2., PROJECT DELIVERABLES, that will guide the Bidder, DDS, and the Regional Centers through each site implementation. In order to deploy CADDIS to all twenty-one Regional Centers in a timely manner, multiple implementation teams will be defined. Each implementation teams will be composed of DDS staff, Regional Center staff, and Bidder staff.

Within the proposal, the Bidder must provide information that can be used by DDS to evaluate the Bidder's knowledge of, and intended approach to, implementation. This information must include at least the following:

1. Evaluation criteria that will be used to determine the project's readiness for implementation;
2. Detailed description of the recommended implementation approach(es) (e.g., components, schedule, participants, and advantages and disadvantages of each implementation approach defined by the Bidder, etc.); and
3. Proposed approach for preparing the Regional Center sites, DDS, and HHSDC for the implementation of CADDIS.

***Evaluation Points:* Implementation Approach**

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Implementation Readiness Evaluation Criteria	0	5
2. Recommended Implementation Approach(es)	0	5
3. Proposed Approach for Preparing RCs, DDS, and HHSDC	0	5
Total Implementation Approach	0	15

VI.D.6. System Maintenance Approach

The Bidder is responsible for maintaining the CADDIS development and test system environment at the DDS as well as the CADDIS post-implementation production environments at the HHSDC and Regional Centers. Systems maintenance includes maintaining all hardware and software components. This includes managing and tracking the release of application, database, and operating system software and source code, DDS and Regional Center hardware, and related upgrades.

The Bidder is responsible for defining and maintaining all version control methods and tools used to control the release of software versions and source code. This includes the development and identification of a baseline software version and the tracking and deployment of subsequent software versions. The Bidder must also ensure that all software upgrades operate with the customizations made by the Bidder during the design, development, and implementation of CADDIS and any subsequent customizations made by the Bidder post-implementation.

As stated in Section IV.D., EXPECTED FUTURE WORKLOAD, the RFP contract warranty and maintenance period is for five years (1 year warranty period plus 4 years maintenance and support) following the completion of the CADDIS implementation to all twenty-one Regional Centers.

Within the proposal, the Bidder must provide information that can be used by DDS to evaluate the Bidder's knowledge of, and intended approach to, systems maintenance. This information must include at least the following:

1. Proposed approach to post-implementation software modification support to ensure CADDIS supports future State legislative or California Code Regulation changes within the mandated compliance due date. The Bidder must provide software modification support during the warranty period and maintenance period of this contract. The Bidder must provide a detailed description of their commitment and approach to supporting the CADDIS environment when future State legislative or California Code Regulation changes must be implemented within mandated deadlines. The Bidder's software modification support approach must include, but is not limited, to the following:

   - A statement of commitment to provide the appropriate technical resources to modify or enhance the installed CADDIS environment when the State informs the Bidder that a State legislative or California Code Regulation change impacts the functionality of CADDIS. This commitment must be for the duration of the contract warranty period and maintenance period. The Bidder must provide the technical resources and oversight to ensure the required modifications are complete ninety (90) days prior to the compliance due date in order to provide DDS sufficient time to review that the software does comply with the regulations
   - A detailed description of the proposed approach to managing and supporting the CADDIS environment to meet future State legislative or California Code Regulation changes. The approach must include the proposed method the State will use to inform the Bidder of a required change (i.e. point of contact, process flow and description, etc.); the Bidder's committed response time to the State's request; the Bidder's approach to assessing the impact of the required State legislative or California Code Regulation change; the Bidder's approach to detailing the level of effort required to meet the required change; and the Bidder's approach to presenting the plan, schedule, and resources to complete the required modifications ninety (90) days prior to the compliance due date.

2. Detailed description of the systems maintenance plan (e.g., preventive maintenance, on-call remedial maintenance, response time to remedial maintenance, maintenance personnel qualifications, etc.);

3. Proposed approach to COTS software and critical software (e.g., operating systems, database management system) upgrades (e.g., determining when new software versions are required,

proposed approach for performing software upgrades post-implementation, communication to DDS, etc.);

4. Proposed approach and tools for managing versions of source code and software components during Development, Testing, Implementation, and post-Implementation;

5. Proposed approach for ensuring that software customizations work with software upgrades; and

6. Expected number of hours per month required by all non-Bidder technical staff persons to maintain CADDIS post-implementation (e.g., hardware, software, backups, etc.).

Evaluation Points: Systems Maintenance Approach

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Software Modification Support	N/A Mandatory	N/A Mandatory
2. Description of Systems Maintenance Plan	0	10
3. Proposed Approach Regarding Post-Implementation Software Upgrades	0	5
4. Proposed Version Control Approach	0	5
5. Proposed Approach Regarding Customizations	0	5
6. Expected Number of Hours for Maintenance	0	5
Total Systems Maintenance Approach	0	30

VI.D.7. Security Strategy

System security must be an integral component of the CADDIS' design and implementation. CADDIS must satisfy the security and privacy rules defined by HIPAA. During the Project Start-up stage, the Bidder is required to provide an overall Security Strategy, identified in Section VI.C.2., PROJECT DELIVERABLES. The Security Strategy must define the security architecture and the security and access structure, including user account structure; user account and profile maintenance; user group profile and maintenance; user and group access security matrix (defining access to application menus and functions); and audit reporting of system and application access. If the Bidder's proposed total solution includes utilization of the Internet, the Security Strategy must also define the Internet access security approach and architecture.

Within the proposal, the Bidder must provide their proposed Security Strategy. The Security Strategy must provide information that can be used by the State to evaluate the Bidder's knowledge of, and intended approach to, security. This information must include at least the following:

1. Identification and description of the proposed security architecture including each proposed level of security (e.g., application, database, network, server, etc.);

2. Proposed approach for managing security levels (e.g., defining and maintaining security levels, RC and DDS role, etc.);

3. Proposed security procedures for DDS, HHSDC, and each Regional Center; and

4. Method the Bidder will use to satisfy HIPAA security and privacy requirements.

Evaluation Points: **Security Strategy**

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Proposed Security Architecture	0	10
2. Approach for Defining and Maintaining Security Levels	0	5
3. Proposed Security Procedures	0	10
4. Method to Satisfying HIPAA Security and Privacy Requirements	0	5
Total Security Strategy	0	30

VI.D.8. Training Approach

Because the number of potential users of CADDIS is approximately 5,000 individuals distributed throughout the State of California, a Train-the-Trainer model will be followed. Approximately 120 individuals from the Regional Centers and DDS will be formally trained by the Bidder and become Certified CADDIS Trainers. The Certified CADDIS Trainers will perform training to the remaining 5,000 users. The Bidder is responsible for:

- developing a Training Curriculum that is suited for 120 Certified CADDIS Trainers and conducting training to these Certified CADDIS Trainers;
- developing a Training Curriculum that is suited for 5,000 end-users;
- developing Training Materials for use by the Bidder and by the Certified CADDIS Trainers; and
- providing on-site, hands-on, in-depth training to approximately 44 technical staff at the Regional Centers and DDS.

The Training Curriculum must provide for multiple levels of training (i.e., Introduction, Beginners, and Advanced) by functional area (i.e., Consumer Information, Vendor Information, and Fiscal) to enable the building of knowledge instead of the bombardment of information. The curriculum must also include training on the ad hoc report writer. Classes for the Certified CADDIS Trainers must be conducted at the following five areas to accommodate the statewide distribution of the participants:

- Sacramento;
- San Francisco/Bay Area;
- Central California (e.g., Fresno); and
- Southern California (2 sites).

The Bidder is responsible for identifying and securing appropriate training facilities for the Train-the-Trainer classes. Facilities must provide hands-on use of CADDIS. Train-the Trainer classes for the Certified CADDIS Trainers must be synchronized with the phased deployment of CADDIS at each of the twenty-one Regional Centers in order to provide timely training. For the first year after implementation (i.e., during the warranty period) the Bidder must provide semi~~bi~~-annual training on CADDIS at two sites (i.e., Sacramento and Los Angeles). The State reserves the right to request the Bidder to provide additional classes at the proposed Session Cost amount presented on the cost sheets included in Section VII, COST, for the duration of the contract.

On-the-job training of forty-four (44) Regional Center and DDS technical staff must be performed during the preparation for implementation of CADDIS at each Regional Center. A specific technical staff person and his/her backup at each Regional Center (i.e., 42 technical staff persons) will be designated as the Bidder's point of contact and CADDIS technical recipient. In addition, two (2) DDS technical staff persons must receive hands-on training.

During the Project Start-up stage, the Bidder is required to provide an overall Training Plan, identified in Section VI.C.2., PROJECT DELIVERABLES. The Training Plan must identify the various types of training that will be offered, the respective target audience, the tools that will be utilized, the location and timing of the training, anticipated class size, class duration, and the degree of involvement required from the DDS and/or Regional Center staff. Training materials, including electronic copies, shall become the property of the State of California upon completion of the training. Unrestricted duplication, modification, and distribution of any part of these materials for use by DDS shall not be restricted.

Within the proposal, the Bidder must provide information that can be used by DDS to evaluate the Bidder's knowledge of and intended approach to training. This information must include at least the following:

1. Proposed approach for performing Train-the-Trainer training (e.g., timeline, materials, activities, etc.);

2. Detailed overview of the training curriculum for Certified CADDIS Trainers and end users (e.g., proposed levels of training, description of each level, objectives of each level, previous knowledge requirements, and estimated number of hours for each course, etc.);

3. Proposed approach for performing technical training to the forty-four (44) Regional Center and DDS staff (e.g., timing, estimated number of hours, focus areas of training, etc.); and

4. Proposed approach for ongoing training post-implementation (e.g., timing, estimated number of hours, focus areas of training, etc.).

Evaluation Points: Training Approach

The following summarizes the evaluation points assigned to this requirement. A more detailed description of evaluation point allocation is described in the RFP-DDS-0016 Evaluation Process document located at: *http://www.osmb.dgs.ca.gov/cscr/.*

Area of Evaluation	Minimum	Maximum
1. Proposed Train-the-Trainer Approach	0	10
2. Proposed Training Curriculum	0	15
3. Proposed Technical Training Approach	0	5
4. Proposed Approach for On-going Training	0	5
Total Training Approach	0	35

VI.E. TECHNICAL REQUIREMENTS

This section identifies the technical requirements that pertain to the overall CADDIS. The State has determined that it is best to define its own needs. The State will not tailor these needs to fit some solution a Bidder may have available; rather, the Bidder shall propose to meet the State's needs as defined in this RFP. All technical requirements are identified as 'Mandatory', 'Desirable', or 'Highly Desirable'. A Bidder's ability to satisfy Desirable and Highly Desirable requirements will earn additional scoring points.

Each requirement includes a priority:

❒ **Mandatory**

These requirements are mandatory and are scored as Pass/Fail. All mandatory requirements must be addressed satisfactorily or the bid will be deemed non-responsive

❒ **Highly Desirable**

Ten (10) points will be assigned if positive responses are provided for Highly Desirable elements. There are no technical requirements with a priority of Highly Desirable.

❒ **Desirable**

Two (2) points will be assigned if positive responses are provided for Desirable elements. There is one (1) technical requirements with a priority of Desirable.

The requirements found in this section are formatted to allow the Bidder to record responses directly in the Requirement Response Table. The Requirement Response Table contains six columns: 1) Requirement ID; 2) Requirement and respective description of how the Bidder will satisfy the requirement; 3) Priority; 4) Meets Requirement?; 5) COTS Rating; and 6) Reference Number.

ID	Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
	Requirement ***Description:*** *Description of how the Bidder will satisfy the requirement*				

The use of each column is described below:

❒ **Requirement ID**

This is the unique identifier for the requirement.

❒ **Requirement**

This is the functional requirement to which the Bidder must respond. The Bidder must also use this column to describe how the Bidder will satisfy the requirement. The Bidder **must** include a description of how the Bidder will satisfy the requirement in this column (using the format provided above) if any of the following conditions exist:

- If the COTS Rating is 2 (Requires source code modification); or
- If the COTS Rating is 3 (Requires the development of new, custom code).

COTS Ratings are defined below.

❒ Priority

This column identifies the priority for the requirement. The three priorities are 'Mandatory', 'Desirable', and 'Highly Desirable'. Each priority is described above

❒ Meets Requirement?

In this column, the Bidder must indicate whether their proposal meets the requirement by entering either 'YES' or 'NO' selection. If a requirement is Mandatory, a 'NO' response may cause a bid to be non-responsive and therefore rejected.

❒ COTS Rating

In this column, the Bidder must indicate the method that will be used to meet the requirements using the definitions and COTS Rating provided below. The COTS Rating will be used for informational purposes only.

Method to Meet the Requirement	COTS Rating
Meets the requirement with existing, unmodified functionality provided in a software product.	1
Requires modification to existing source code to meet the requirement.	2
Requires development of new, custom code to meet the requirement.	3

❒ Reference Number

The Bidder must provide additional information to describe how the Bidder will satisfy a requirement through external documentation or literature. The Bidder must include a reference number for each applicable exhibit or attachment included in the Bidder's Proposal Volume II, LITERATURE. Reference numbers should follow a logical sequence and be easy to reference back to a specific numbered requirement. The Bidder **must** include a reference number to a document that identifies how the Bidder will satisfy the requirement for a COTS rating 1 or 2.~~, regardless of the COTS rating.~~ For a COTS rating 3, the Bidder must provide a complete description on how the Bidder will satisfy a requirement as part of their requirement description response (see Requirement above).

SAMPLE:

Samples of two completed Requirement Response Table entries are provided below:

ID	Consumer Information – Demographics Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-001	System must provide a minimum of 30 characters for first name and last name; minimum of 15 characters for middle name. ***Description:*** *The Case Management Software provides for 12 characters for the middle name. The software, applicable windows, applicable reports, and database will be modified to provide for a 15 character middle name.*	Mandatory	Yes	2	II-5
CI-002	System must provide the ability to enter and associate alias names for a Consumer.	Mandatory	Yes	1	II-7

VI.E.1. Hardware and Software

The Hardware and Software technical requirements presented in this section define the requirements related to hardware and software installation, operation, and maintenance.

ID	Hardware and Software Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-001	System must operate within the existing telecommunications environment supported by DDS and the Health and Human Services Data Center (HHSDC). The DDS Headquarters production CADDIS environment must be installed at the HHSDC.	Mandatory			
TR-002	System must provide the ability to execute the CADDIS client application(s) on an Intel Pentium-based (or equivalent) personal computer system with a minimum CPU speed of 400MHz, a minimum of 128 megabytes of main memory, and 8 Gigabytes of disk storage.	Mandatory			
TR-003	The Bidder must provide a separate on-going development and test hardware and software environment at DDS to support on-going maintenance and future modification testing. The Bidder must provide three test environments: Unit Testing, Systems and Integration Testing, and User Acceptance Testing.	Mandatory			
TR-004	The Bidder must schedule and oversee the proper installation of the proposed hardware platform at DDS, RCs, and HHSDC. This includes hardware ordering, shipping, site preparation and coordination, site installation, set up, and acceptance by DDS. The Bidder must provide hardware performance monitoring tools for installed hardware.	Mandatory			
TR-005	System must execute on a Windows 95 (or later) and a Windows NT 4.0 (or later) desktop environment. The CADDIS client application must not impact any other existing standard package software on the target workstations.	Mandatory			
TR-006	System must implement standard Windows 95 (or later) print functions and support for both laser and dot matrix printers for all system generated printed output.	Mandatory			
TR-007	The Bidder must utilize the following desktop tools to prepare all document-based project deliverables: Microsoft Office 97 or later, Microsoft Access 97 or later, Microsoft Project 98 or later, and Microsoft Visio 5 or later.	Mandatory			
TR-008	The Bidder must propose and provide a commercially-available backup utility program for each proposed environment to support daily, incremental, full backup and restore capabilities. The backup utility must provide the following: ability to schedule backup functions; ability to skip open files; ability to virus check files/data sets; ability to support multiple backup methods (e.g. full, incremental, differential, working set, etc.); ability to provide backup status monitoring; and ability to backup open files. System must provide a data archiving feature with an easy access/retrieval process to view archived information.	Mandatory			
TR-009	System must provide the ability to provide multi-user access to all modules/functions within the system.	Mandatory			
TR-010	System must implement an automated software upgrade and software distribution process. The Bidders' software upgrade and distribution procedures must be documented and must address, at a minimum, the following: software distribution methodology (Application updates); any migration tools or techniques, if applicable; methodology to ensure all components are updated and deployed correctly; and methodology to detect and resolve modules or procedure invalidated as a result of a software update.	Mandatory			
TR-011	System must implement a consistent Windows standard software installation process for the CADDIS client software. The installation process must provide the ability to install the software to the end-user's local hard disk from a CD-ROM and from a network server.	Mandatory			

ID	Hardware and Software Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-012	System must provide the ability to distribute emergency software updates within 4 hours to all Regional Centers (RCs).	Mandatory			

VI.E.2. Database

The Database technical requirements presented in this section define the required features and functionality of the CADDIS database(s) and respective Data Base Management System (DBMS).

ID	Database Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-013	The Bidder must propose a single open relational database management system (RDBMS) that must contain all CADDIS data. The proposed database must conform to ANSI standards, it must be widely supported by the industry, and it must be supported by industry accepted fourth-generation programming languages and tools.	Mandatory			
TR-014	The proposed database must provide the following features: automatic query optimization, database administrator management tools, stored procedures, views, triggers, multi-processor capability, multi-processor query execution and indexing, XML support, database replication, and database optimizing and performance monitoring tools.	Mandatory			
TR-015	The proposed database must support common database connectivity protocols including ODBC, ADO, and OLE DB.	Mandatory			
TR-016	The Bidder must develop a database recovery plan with complete start, stop, backup, and recovery procedures for any and all systems running the CADDIS.	Mandatory			
TR-017	The Bidder must provide the database backup and recovery tools required to support the bidder's database recovery plan and procedures.	Mandatory			
TR-018	The Bidder must develop and implement data import functionality to receive standard format data from external parties. The external parties may include Providers, SSI, SSA, Banks, Insurance Companies, Dept. of Health Services (DHS), and HHSDC.	Mandatory			
TR-019	System must provide an export function that creates common export file format (e.g. comma delimited, tab delimited, space delimited, quotation delimited, etc.).	Mandatory			
TR-020	The Bidder must develop and adhere to naming conventions standards for data sets, data elements, entities and attributes, programs, report names, et cetera.	Mandatory			
TR-021	The Bidder must provide an active data dictionary that describes and maintains information on each data element including: data element name, description of the data element, and the format of each data element.	Mandatory			
TR-022	The proposed database must support XML database information exchange protocol.	Mandatory			
TR-023	System must utilize one of the following database management systems supported by HHSDC: DB2; IDMS; ADABAS; Oracle; or Microsoft SQL Server.	Mandatory			

VI.E.3. Application Development

The Application Development technical requirements presented in this section define the application development tools, development standards, development documentation, and development environment the Bidder must utilize in the development of the CADDIS.

ID	Application Development Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-024	The Bidder must provide complete run books and start, stop, and recovery procedures for any and all on-line and batch processes developed for the CADDIS.	Mandatory			
TR-025	The Bidder must define and utilize standard and consistent coding and program documentation techniques in developing all CADDIS modules and programs.	Mandatory			
TR-026	The Bidder must define, document, and implement a configuration management process to manage, track, and secure application source code and shared program modules. The configuration management process must include procedures to 'check-in' and 'check-out' code and program routines.	Mandatory			
TR-027	System must be implemented using table driven logic and user definable parameters to provide a flexible application to meet business process changes.	Mandatory			
TR-028	The Bidder must work with the DDS to define and establish the required development and test environments needed for all levels of testing. This test environment must not interfere or degrade the performance or availability of production systems.	Mandatory			

VI.E.4. Audit and Security

The Audit and Security technical requirements presented in this section define the audit and security components that the Bidder must implement to track data changes (adds, updates, deletes) and to prevent intentional or unintentional damage to data, application code, or system resources. The Bidder is responsible for ensuring that CADDIS satisfies all HIPAA security and privacy standards.

ID	Audit and Security Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-029	The Bidder must develop and implement internal application controls and audit trails for the creation and deletion of auditable records. The Bidder must document the internal controls and audit trail data structures.	Mandatory			
TR-030	System must generate an audit record for all records and transactions that includes the User ID, update date/timestamp, and old field value/new field value (i.e., for changes). System must implement a consistent and distinguishable User ID, date, and timestamp attributes on all auditable records/rows whenever the record changes (created, updated, or deleted).	Mandatory			
TR-031	System must not permit auditable records from being physically deleted from the database or overwritten in any manner by the CADDIS.	Mandatory			
TR-032	System must provide audit-tracking reports for the key CADDIS database tables and data structures.	Mandatory			
TR-033	System must implement an application error log process that logs application errors to an Error Log with a unique error number, description, table name, respective application module (if applicable), User ID, error date, and error time.	Mandatory			
TR-034	When a data record (e.g., Consumer's trust management record, Vendor's payment record, etc.) is displayed within CADDIS, the system must display the last updated User ID and last updated date/time.	Mandatory			

ID	Audit and Security Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-035	The Bidder's proposed solution must support and/or comply with security-related and privacy-related requirements resulting in the adoption of the Health Insurance Portability and Accountability Act (HIPAA) of 1996 regulations requirements. All software updates must be completed ninety (90) days prior to the federally-defined compliance due date in order to provide DDS sufficient time to review that the software does comply with the regulations. The Bidder must provide this level of support for the duration of this contract (i.e., throughout the CADDIS project, warranty period, and maintenance period)"	Mandatory			
TR-036	The Bidder must conform to DDS and HHSDC standard user configuration environment structures including logon Ids, name, passwords, printer designation and assignments, and application specific security controls.	Mandatory			
TR-037	The Bidder must develop and implement an application audit and security schema for all components of CADDIS to grant users access to various application functions and data (read, write, change, delete, etc.) by user group(s). The audit and security schema must be documented.	Mandatory			
TR-038	System must provide a windows-based, easy to use CADDIS user account profile set up and management function.	Mandatory			
TR-039	System must provide the ability to use windows-based security templates and/or create security templates for CADDIS user account set up and management.	Mandatory			
TR-040	System must provide user and group security control at a functional level (e.g., fiscal, case management, intake, etc.), screen level, and a field level (where required by DDS).	Mandatory			
TR-041	System must provide the ability to prevent end-users access to specified tables and data elements without the proper authorization.	Mandatory			
TR-042	System must automatically 'lock' a record when it is being updated by a user so that another user is unable to perform a simultaneous update. Other users must be able to view the record and the system must identify which user ID has the record locked. System must automatically release the locked record when the updates are saved.	Mandatory			
TR-043	System must provide the ability to limit the number of unsuccessful logon attempts into the CADDIS application based on a system administrator defined value. This parameter must be centrally managed via the CADDIS system administrator account.	Mandatory			
TR-044	System must provide the ability to set a system administrator defined inactivity time-out duration. System must automatically log off users when there has been no activity during the specified time-out duration.	Mandatory			
TR-045	System must enforce password changes based on a system administrator defined password lifetime value. System must automatically inform the user that their password will expire and provide the user the option to change it immediately.	Mandatory			
TR-046	System must provide database level security control at the table, record, and field level.	Mandatory			
TR-047	If the Bidder's proposed solution utilizes Electronic Data Interchange (EDI) or Extensible Markup Language (XML) delivery, the system must use encryption methods necessary to ensure the secure electronic transfer of information.	Mandatory			

VI.E.5. Reporting

The Reporting section identifies requirements associated with selecting and implementing an end-user ad hoc query and reporting tool.

ID	Reporting Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-048	System must provide standard outputs (e.g., reports, forms, letters, etc.) that can be easily selected from the CADDIS menu by all Regional Center and DDS users. System must provide the ability to filter based on 1) key data fields contained in the output and 2) dates. The Bidder must provide documentation describing each CADDIS standard output. The documentation must include the report name, a brief description of the output, a list of the output, the default sort sequence of the output, and the optional sort fields. Examples of standard output is provided in RFP-DDS-0016 Appendix C.	Mandatory			
TR-049	The Bidder must provide 250 licenses of a commercially available production report writer development tool (e.g., Crystal, Microsoft Access, etc.) for the development of ad hoc reports, forms, and letters by DDS and each Regional Center.	Mandatory			
TR-050	System's ad hoc reporting function must possess the following features: Generate and store system-wide ad hoc reports; select list and cross-tab style reports; select report output format (e.g., report, pie chart, bar chart, etc.); select reporting data elements from drop-down lists; ability to enter user-defined timeframes; ability to sort on any field, ability to subtotal groups of data; and ability to perform user defined data filtering and conditional filtering for all data within the system.	Mandatory			
TR-051	System's ad hoc reporting features must possess the following technical characteristics: Supports access to various database platforms including SQL Server, Access, Oracle, and DB2; Supports access to OLE DB, ODBC, and SQL compliant data sources; Supports drag and drop design interface; Utilizes menus, icons, and point-and-click user interface; Provides ability to distribute reports in wide range of formats including Microsoft Word, Excel, HTML, and via e-mail; Supports subreports, form-style reports (pre-printed forms), web reports (generate HTML reports), cross-tab reports, and conditional reports (parameter driven logic); Supports server side processing option to have report functions such as grouping, sorting, and SQL expressions execute on the server.	Mandatory			
TR-052	System's ad hoc reporting function must be restricted to read-only access to the production database.	Mandatory			
TR-053	System must provide the ability to print preview a report. System must provide the ability for a user to define the pages to print.	Mandatory			
TR-054	System must provide the ability to save end-user reports created within CADDIS to an external file.	Mandatory			
TR-055	The Bidder must provide hands-on training sessions (or commercially provided training) on the ad hoc tool for DDS and Regional Center ad hoc report developers/users before the ad hoc reporting tool is made available for production. This training must be provided in accordance to RFP-DDS-0016 Section VI.D.8., TRAINING APPROACH.	Mandatory			
TR-056	The Bidder must provide user manuals for the production report writer development tool equal to the number of software licenses provided.	Mandatory			

This section identifies the Desirable requirements associated with the Technical area. Two (2) points will be assigned if acceptable responses are provided for Desirable requirements.

ID	Technical: Desirable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-057	System's ad hoc reporting function should provide report writing wizards to assist non-technical users in the development and generation of reports.	Desirable			

VI.E.6. *Help Functionality*

The technical requirements presented in this section define the required features of on-line help, User Help References, Technical Help References, and DDS Help Desk Support for CADDIS.

ID	Help Functionality Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-058	System must implement context sensitive and field level on-line help.	Mandatory			
TR-059	System must provide on-line help that displays data field definitions for all user entered data fields.	Mandatory			
TR-060	The Bidder must provide end-user and in-depth training to DDS's help desk personnel on the use of the CADDIS.	Mandatory			
TR-061	The Bidder must develop and provide written help desk procedures for the CADDIS application environment.	Mandatory		N/A	
TR-062	The Bidder must provide a comprehensive CADDIS user's manual and comprehensive CADDIS systems manual.	Mandatory		N/A	
TR-063	The Bidder must provide on-site 1st and 2nd level help desk support at DDS Headquarters during normal business hours (Monday through Friday, 7:00 a.m. to 6:00 p.m. PST/PDT) during the warranty period. The Bidder must provide off-site 2nd level help desk support during the maintenance period of the contract.	Mandatory		N/A	N/A

VI.E.7. *Conversion and Transition*

The Conversion and Transition requirements presented in this section define Bidder requirements for the transition from UFS and SANDIS to CADDIS for the DDS and each Regional Center.

ID	Conversion and Transition Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-064	The Bidder's project conversion and transition plan must address the transition and data conversion for each Regional Center. Each Regional Center and DDS must continue to process their normal business operations throughout the CADDIS Pilot and Implementation stages.	Mandatory		N/A	
TR-065	The Bidder must follow all steps of the software development life cycle in the creation, administration, and execution of conversion programming.	Mandatory		N/A	
TR-066	The Bidder must provide a mechanism for the DDS and respective Regional Center representatives to review and accept the converted data before initiation of production.	Mandatory		N/A	
TR-067	The Bidder must convert all data from the local Regional Center's SANDIS and UFS to the CADDIS.	Mandatory		N/A	

VI.E.8. Year 2000 Compliance

The Year 2000 Compliance technical requirements presented in this section require the Bidder to guarantee that the CADDIS will accurately and automatically process date data (including, but not limited to, calculating, comparing, and/or sequencing) from, into, and between the twentieth and twenty-first centuries, the years 1999 and 2000, and leap year calculations.

ID	Year 2000 Compliance Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
TR-068	The Bidder must certify and guarantee that any systems and applications developed are Year 2000 and Date compliant, can accommodate 4-digit years, and can accommodate leap-years.	Mandatory		N/A	

VI.E.9. Service Level Objectives

This section outlines the Service Level Objective (SLO) requirements for the CADDIS. The SLO's are divided into three major areas, Concurrent User Requirements, Response Time Objectives, and CADDIS Environment Objectives. ***For the purposes of all Service Level Objective requirements in this section, normal business hours are defined as Monday through Friday, 7:00 a.m. to ~~-~~ 6:00 p.m. PST/PDT, excluding State holidays. The Principal Period of Maintenance (PPM) is defined as Monday through Friday 7:00 a.m. to 6 p.m. PST/PDT, excluding State Holidays.***

VI.E.9.a. Concurrent User Requirements

The CADDIS environment located at HHSDC and each Regional Center must be configured and capable of supporting the estimated number of future users identified in the Regional Center User Population Summary located in Section IV, PROPOSED FUTURE OPERATING ENVIRONMENT.

ID	Requirement	Priority	Meets Req?	COTS Ratings	Ref. #
TR-069	CADDIS hardware/software environment must be configured and capable of supporting the estimated number of future users identified in the Regional Center User Population Summary located in RFP-DDS-0016 Section IV, PROPOSED FUTURE OPERATING ENVIRONMENT.	Mandatory		N/A	

VI.E.9.b. Response Time Objectives

The Bidders' proposed solution must meet or exceed the following Average Response Time Objectives during 95% of normal business hours when 75% of the functional area users (i.e., Intake Coordinators, Service Coordinators, and Fiscal) are actively and concurrently working on the CADDIS. This requirement must be met at each of the twenty-one Regional Center's main office.

Response time is defined as the completion of a task resulting in the return of data or information to the user. The response time metrics are initiated with the depression of a function key or GUI control indicating a send to the application/server and is completed with a display of returned information or data.

The Average Response Time Objectives defined in this section must be validated during the Systems and Integration Testing in Phase 2, Design, Development, and Conversion, re-validated during the Pilot (i.e., User Acceptance Testing) in Phase 3, Deployment and Training, and confirmed during production implementation.

The Bidder must define and establish a process to measure on-line response time and collect the information during the normal business hours. The sample and collection frequency must be sufficient to generate a statistically valid average response time for each transaction type identified in this section. The CADDIS Program Manager must approve the response time collection approach.

The system must meet the average response time objectives by functional area as outlined in the following table:

Functional Area	Average Response Time Objectives
Intake Coordination	• Create new Consumer record and generate unique Consumer identifier: 3 seconds • Consumer lookup by Consumer identifier: 2 seconds • Consumer list by partial last name search: 2 seconds
Service Coordination	• Consumer change of address and status: 1 second for each field • Search for Service Providers that satisfy user-entered service criteria: 3 seconds • Create purchase request record: 2 seconds • Create Consumer Target Case Management (TCM) note record: 2 seconds
Resource Development	• Create new vendor record and unique vendor identifier: 3 seconds • Vendor lookup by vendor identifier: 2 seconds • Vendor list by service/sub code: 2 seconds • Vendor list by service type and service/sub code: 2 seconds • Vendor change of address and status: 1 second for each field
Fiscal Management	• Create a general ledger entry: 2 seconds • Account lookup by account number: 2 seconds • Enter vendor bill: ❶ Field entry/exit: < 1 second, ❷ Save record: 2 seconds • Pay vendor bill: ❶ Vendor record retrieval: 2 seconds, ❷ Save payment entry: 2 seconds
Management Reporting (Report/Form Generation)	• Form letter generation: 10 seconds • Print Consumer Trust Management History report: 5 seconds • Print Active Vendor list report by service code: 5 seconds • Print full fiscal year Summary Trial Balance Report: 5 seconds

ID	Requirement	Priority	Meets Req?	COTS Ratings	Ref. #
TR-070	The system must meet the response time requirements for each CADDIS user's functional area as detailed in RFP-DDS-0016 Section VI.E.9.b. RESPONSE TIME OBJECTIVES.	Mandatory		N/A	N/A

VI.E.9.c. CADDIS Environment Objectives

To ensure the proper availability and reliability of the CADDIS environment, the Bidder must provide the proper on-going support and services to meet the CADDIS Environment Objective requirements. These requirements address the hardware availability, software availability, problem resolution response times, and the system shutdown notification requirements.

The following table details the required Bidder support and service level for each of the key CADDIS Environment Service Level Objective Components:

CADDIS Environment SLO Component	Description	Service Level Objective
CADDIS Hardware Availability	The CADDIS Hardware must operate reliably to minimize user downtime. The Bidder must provide hardware service repair response that meet the Service Level Objectives	System availability related to hardware failures: 99.8% Service repair response time: technician is on site <= 4 hours during normal business hours Service repair response time: technician is on site <= 6 hours <u>outside</u> normal business hours.

CADDIS Environment SLO Component	Description	Service Level Objective
CADDIS Application Availability	The CADDIS application must perform reliably with minimal interruption in service to the CADDIS users during normal business hours.	DDS and RC CADDIS Application Availability: 99.8%
CADDIS Problem Resolution	CADDIS problems will be categorized by their severity and the type of fix as follows: **Severity**: Work Stoppage Work Slowdown Non-critical – little ~~to no~~ impact Non-critical – no impact **Type** of fix: Functional Restoration: CADDIS functional loss/failure is restored via a temporary fix or work around. Problem Resolution: Problem causing the functional loss/failure is permanently corrected.	**Work Stoppage** Call Response Time: Bidder must respond to problem calls within 2 hours Functional Restoration: Must be completed within 4 hours Problem Resolution: Must be completed within 24 hours. **Work Slowdown** Call Response Time: Bidder must respond to problem calls within 2 hours Functional Restoration: Must be completed within 8 hours Problem Resolution: Must be completed within 48 hours. **Non-critical – little impact** Call Response Time: Bidder must respond to problem calls within 4 hours Functional Restoration: Must be completed within 24 hours Problem Resolution: Must be completed within 96 hours. **Non-critical – no impact** Call Response Time: Bidder must respond to problem calls within 8 hours Functional Restoration: If confirmed to be no impact, no Functional Restoration is required. Problem Resolution: If confirmed to be no impact, problem will be corrected in the next software version release.
CADDIS Help Desk Support	The Bidder must provide on-site 1st and 2nd level support at DDS Headquarters during the warranty period. The Bidder must provide off-site 2nd level help desk support during the maintenance period.	**Warranty Period** Response Time: Bidder will be on-site and provide help desk support to DDS help desk staff as appropriate. **Maintenance Period** Call Response Time: Bidder must respond to DDS help desk calls within 2 hours. Problem Resolution: Bidder must adhere to Problem Resolution SLO described above.
System Downtime Notification	Notification of scheduled downtime must be provided to DDS, DDS project team, Regional Center end users.	Scheduled downtime notification must be provided by the Bidder

ID	Requirement	Priority	Meets Req?	COTS Ratings	Ref. #
TR-071	The Bidder must provide the necessary support and services to meet the CADDIS Environment Service Level Objectives as detailed in RFP-DDS-0016 Section VI.E.9.c., CADDIS ENVIRONMENT OBJECTIVES.	Mandatory		N/A	N/A

ID	Requirement	Priority	Meets Req?	COTS Ratings	Ref. #
TR-072	If the Bidder's proposed solution includes the utilization of an Electronic Commerce gateway or Electronic Data Interchange (EDI), the minimum availability must be from Monday through Friday, 7:00 am to 6:00 pm. The proposed solution must be capable of supporting data submissions in a pre-defined data format that is consistent with national standards for the exchange of electronic information.	Mandatory			
TR-073	If the Bidder's proposed solution includes the utilization of web-based components the minimum availability must be from Monday through Friday, 7:00 am to 6:00 pm.	Mandatory		N/A	N/A

VI.E.10. Software Source Code

Source code for all vendor dependent software and/or firmware utilized in the operation and maintenance of CADDIS must be provided to the State or placed in escrow. This requirement ensures that in the event the vendor ceases to do business or discontinues product support in the future, the State has possession and ownership of all source code for their business solution. The State must be able to access this escrow account, if used, without notification to the vendor.

The product component escrow includes the following:

- Third party, independent escrow of any and all product components not supplied to the State, including the most recent supported version of all original and enhancement components of the proposed system.
- Upon implementation of product components and upgrades, provide the most-recent supported version of each component or upgrade at no additional cost to the State.
- Product components in escrow must be updated and kept current with the product component copies in production at the DDS within 2 days of production use.
- DDS will have the right to audit the products kept in escrow during regular business hours. This audit will ensure that escrow of the current production versions is done correctly and in a timely fashion.

ID	Requirement	Priority	Meets Req?	COTS Ratings	Ref. #
TR-074	The Bidder must provide source code for all vendor dependent software and/or firmware to the State or place it in escrow as detailed in RFP-DDS-0016 Section VI.E.10.,Software Source Code and RFP-DDS-0016 Appendix B – Model Contract.	Mandatory		N/A	N/A
TR-075	The Bidder's Draft and Final proposals must contain a statement from the escrow company who will provide this service agreeing to the terms as specified in RFP-DDS-0016 Section VI.E.10.,Software Source Code and RFP-DDS-0016 Appendix B – Model Contract.	Mandatory		N/A	N/A
TR-076	Within twenty-one (21) days after notification of contract award (unless submitted with the proposal), the successful Bidder must submit the Bidder's executed escrow account agreement. Failure to submit the required escrow agreement within twenty-one (21) days may be cause for termination of the contract.	Mandatory		N/A	N/A

The Bidder must itemize the cost associated with the establishment of a software escrow account and include this cost in their cost proposal as a one-time cost. The Bidder's escrow account cost must be detailed in **Cost Table VII-N: Other One-time Cost**.

VI.F. BUSINESS REQUIREMENTS

This section identifies the business requirements that pertain to the overall CADDIS. The State has determined that it is best to define its own needs. The State will not tailor these needs to fit some solution a Bidder may have available; rather, the Bidder shall propose to meet the State's needs as defined in this RFP. All technical requirements are identified as 'Mandatory', 'Desirable', or 'Highly Desirable'. A Bidder's ability to satisfy Desirable and Highly Desirable requirements will earn additional scoring points.

Each requirement includes a priority:

❒ **Mandatory**

These requirements are mandatory and are scored as Pass/Fail. All mandatory requirements must be addressed satisfactorily or the bid will be deemed non-responsive

❒ **Highly Desirable**

Ten (10) points will be assigned if positive responses are provided for Highly Desirable elements. There are five (5) business requirements with a priority of Highly Desirable.

❒ **Desirable**

Two (2) points will be assigned if positive responses are provided for Desirable elements. There are fourteen (14) business requirements with a priority of Desirable.

For each requirement, the Requirement Response Table must be completed as described in Section VI.E., TECHNICAL REQUIREMENTS.

VI.F.1. Global Requirements

The Global requirements represent general functional attributes that must be provided throughout the CADDIS application.

ID	Global Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
GL-001	System must include sufficient on-line data edits and features (e.g., picklists, checkboxes, etc.) that will prohibit the entry of inaccurate and/or inappropriate data.	Mandatory			
GL-002	System must satisfy requirements, standards, and regulations defined by the Health Insurance Portability and Accountability Act (HIPAA) of 1996 for the duration of this contract. This includes the standards related to Transactions and Code Sets (specifically ANSI X12N 835 and ANSI X12N 837), National Provide Identifier, National Employer Identifier, Security, Privacy, National Health Plan Identifier, Claims Attachments, Enforcement, and National Individual Identifier. All software updates must be completed ninety (90) days prior to the federally-defined compliance due date in order to provide DDS sufficient time to review that the software does comply with the regulations. The Bidder must provide this level of support for the duration of this contract (i.e., throughout the CADDIS project, warranty period, and maintenance period).	Mandatory			
GL-003	System must automatically generate files in the current UFS Data Extract format in order to support legacy applications that will continue to use the DDS Statewide ADABAS Database. The file formats are provided in RFP-DDS-0016 Appendix G.	Mandatory			
GL-004	System must provide the ability to specify whether a Consumer, Service Provider, or Vendor record search must be restricted to a specific Regional Center, multiple Regional Centers, or across statewide files.	Mandatory			
GL-005	System must provide the ability to easily inquire on data contained in CADDIS based on user-defined criteria and user-defined timeframes.	Mandatory			
GL-006	System must maintain a standard look-and-feel throughout all modules of CADDIS. System must provide the ability to navigate throughout CADDIS via pull-down menus/sub-menus and short-cut keys. Short-cut keys must be easily recognizable.	Mandatory			
GL-007	System must utilize defaults as applicable (e.g., state code, country code, today's date, etc.) and provide the user the ability to override defaults.	Mandatory			
GL-008	System must provide standard windows features including pick-lists with the 'jump ahead' feature, copy and paste functionality, pop-up windows (where appropriate), text wrapping, and text insertion without compromising existing text	Mandatory			
GL-009	System must provide the ability to develop local and state-wide form and letter templates. Templates must utilize data maintained in CADDIS	Mandatory			
GL-010	System must allow the ability to print forms and letters in regular font size or enhanced font size (standard, DDS-determined larger font size).	Mandatory			
GL-011	System must provide the ability to designate the default printer and the ability to change the printer, as needed.	Mandatory			
GL-012	System must provide the ability to print batch runs now or queue the print for a later time (e.g., check batches, invoice batches, etc.).	Mandatory			
GL-013	System must provide the ability for an authorized user to apply mass changes across data records (e.g., area code change, zip code change, service code change, etc.).	Mandatory			
GL-014	System must provide the ability for non-technical users to create mailing lists and generate mailing labels based on data within CADDIS.	Mandatory			

ID	Global Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
GL-015	System must provide the ability to enter the location of a physical Consumer or Service Provider chart/file. Data must include the location of the file, sent date, and contact person.	Mandatory			
GL-016	System must provide the ability to interface with a bar-coding system to assist in the tracking of charts, files, and assets.	Mandatory			
GL-017	System must provide the ability to reference electronic data files (e.g., scanned documents, etc.) that exist outside the CADDIS.	Mandatory			
GL-018	System must provide the ability to enter information requests made by a Regional Center to an external party including name of agency, request date, requestor's name, type of request, contact medium (e.g., phone, fax, etc.), agency contact name and phone number, and date received.	Mandatory			
GL-019	System must provide the ability to enter information requests made by an external party to a Regional Center including name of requestor, request date, contact medium (e.g., phone, fax), requestor phone number, date information was sent, and by whom.	Mandatory			
GL-020	All modules within the CADDIS must automatically interface real-time to eliminate duplicate data entry and data redundancy and to enable balanced financial accounts.	Mandatory			
GL-021	System must provide non-technical staff the ability to easily export user-defined data elements to a properly formatted file for utilization by desktop and local applications.	Mandatory			
GL-022	System must provide the ability for authorized users to remotely access CADDIS through a DDS-approved security infrastructure (e.g., dial-up TCP/IP connection).	Mandatory			
GL-023	System must maintain a historic events summary for each Consumer and Vendor that includes the event, event type, and event date. System must automatically log specific historic events as well as provide the ability to enter a historic event. System must provide the ability to enter a comment for a specific history record.	Mandatory			
GL-024	System must automatically schedule events in a respective Consumer's or Service Provider's tickler file. System must provide DDS or the Regional Center the ability to define scheduled events. Scheduled events examples are provided in the RFP-DDS-0016 Appendix D.	Mandatory			
GL-025	System must provide the ability for on-line approval of documents (e.g., Consumer transfers, purchase requests, disbursement requests, Special Incident Reports, etc.). System must accommodate multiple approvers for a single document. System must provide the ability for Regional Centers to define approval levels, approval requirements and approvers based on the document characteristics (e.g., document type, generating Regional Center unit, service/sub code, etc.). System must provide the ability to define approval levels that include authorizing dollar amount. System must automatically log the date a document was approved and the approver.	Mandatory			

VI.F.1.a. Global: Desirable Requirements

This section identifies the Desirable requirements associated with the Consumer Information functional area. Ten (10) points will be assigned if acceptable responses are provided for Highly Desirable requirements. Two (2) points will be assigned if acceptable responses are provided for Desirable requirements.

ID	Global: Desirable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
GL-026	System should provide the future ability to interface with a scanning system and provide the ability to store scanned documents within CADDIS. For the proposed solution to meet this requirement, the proposed solution must include the necessary software and hardware components to support the future addition of State-provided scanning equipment and additional on-line storage to implement and utilize this requirement's stated functionality. If the proposed solution requires or supports only specific scanning equipment and/or on-line storage, the proposal response must include the solution specific hardware and software details for the State's future reference.	Highly Desirable			
GL-027	System should provide the ability for authorized users to submit Service Provider data updates via the Internet (e.g., vacancy information, staffing information, etc.). System must perform validation edits on this data prior to uploading it into CADDIS.	Highly Desirable			
GL-028	System should provide the ability for a Service Provider to complete and submit specific forms (e.g., Special Incident Reports, monitoring reports, etc.) via the Internet. System must perform validation edits on this data prior to uploading it into CADDIS.	Highly Desirable			
GL-029	System should provide the ability for the on-line routing of documents for review and approval (e.g., Consumer transfers, purchase requests, Special Incident Reports, etc.). System should accommodate routing a single document to multiple reviewers. System should provide the ability for each Regional Center to define routing and approval rules.	Highly Desirable			
GL-030	System should provide the ability to search text fields for a specific text string. The system should provide the ability to narrow the search based on a user-defined timeframes.	Desirable			
GL-031	System should automatically populate the respective county, health district, city and state when a zip code is entered.	Desirable			
GL-032	System should provide the ability to interface with desktop scheduling program (e.g., GroupWise, MS Outlook, etc.).	Desirable			
GL-033	System should provide the ability to accept and maintain electronic signatures in a manner that meets security standards defined by the State of California.	Desirable			
GL-034	System should provide the ability to accept and maintain digital photos.	Desirable			
GL-035	System should automatically generate on-line reminders based on related scheduled events. System should provide DDS or the Regional Center the ability to define scheduled events. Scheduled events examples are provided in the RFP-DDS-0016 Appendix D. System should provide the ability for a Regional Center and/or an individual user to enable/disable on-line reminder notices.	Desirable			
GL-036	System should provide the ability for authorized users to view Regional Center-defined Consumer and Service Provider data via the Internet.	Desirable			
GL-037	System should provide the ability for a Consumer to complete and submit application forms (e.g., Initial Inquiry and Information, application, etc.) via the Internet. System must perform validation edits on this data prior to uploading it into CADDIS.	Desirable			

VI.F.2. Consumer Information Requirements

The Consumer Information requirements define the functional attributes associated with the Intake Coordination, Service Coordination, and Diagnostic and Evaluation business functions described in Section III.F. CURRENT BUSINESS PROCESSES. Specifically, these requirements include the tracking of Consumer application data, assessment scheduling, Consumer registration, and Consumer demographic and diagnostic and evaluation data. In addition, this section includes requirements related to the tracking of Consumer-related time-sensitive events, outcome, progress reports, updated diagnostic and evaluation data, and medications and collecting and tracking Title XIX information (e.g., Target Case Management activities and units, ID Notes, etc.). The Consumer Information Requirements includes the following sub-sections:

- Demographics;
- Intake Coordination;
- Service Coordination; and
- General.

VI.F.2.a. Consumer Information: Demographics

The requirements in this section relate to the entering and tracking of Consumer demographic data.

ID	Consumer Information: Demographics Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-001	System must provide a minimum of 30 characters for first name and last name; minimum of 15 characters for middle name.	Mandatory			
CI-002	System must provide the ability to enter and associate alias names for a Consumer.	Mandatory			
CI-003	System must provide the ability to enter Consumer demographic information including birth date, birth place (i.e., city, county, and state), mother's maiden name, gender, marital status, ethnicity, legal status (e.g., Conservator-DDS, Parental Custody, etc.), number of children, and language spoken/understood by Consumer and caretaker.	Mandatory			
CI-004	System must provide the ability to enter Consumer relationship information, including name, address, relationship type (e.g., mother, social worker, etc.), phone number(s), email address, county of residence, legal guardian identifier, marital status, relationship status, SSN, date of birth, place of birth, retired identifier, deceased identifier, disabled identifier, military service identifier, primary language spoken, and comments (e.g., case number, office location, etc.).	Mandatory			
CI-005	System must provide the ability to enter Guardian/Conservator information including type, relationship to Consumer, name, address, phone number, email address, case number, court issued, effective date, expiration date, and verified? indicator. System must provide the ability to enter multiple Guardians/Conservators for a Consumer.	Mandatory			
CI-006	System must prompt the user if a Conservator/Guardian relationship record is added or changed and/or a Conservator/Guardian has not been identified or differs from the Consumer demographic record, and vice versa. System must prompt the user when a Conservator/Guardian relationship record is changed to determine if the Consumer demographic record must change.	Mandatory			
CI-007	System must maintain a Consumer status, respective status start/end date, and status history. System must prompt the user when a Consumer's status changes as to whether approved purchase requests must change.	Mandatory			
CI-008	System must automatically identify Early Start Consumers vs. Regular Consumers based on birthdate and Consumer status.	Mandatory			

ID	Consumer Information: Demographics Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-009	System must provide the ability to define different timeframe due dates based on Consumer characteristics (e.g., Medically Fragile, Enhanced Case Management, Community Placement Plan, etc.).	Mandatory			
CI-010	System must provide the ability to enter multiple phone numbers for a party (e.g., Consumer, family member, Conservator, etc.) by type (e.g., home, fax, cellular, etc.). System must accommodate 11 digits and an extension of 5 digits.	Mandatory			
CI-011	System must provide the ability to enter multiple email addresses for a party (e.g., Consumer, family member, Conservator, etc.) by type (e.g., home, work, etc.).	Mandatory			
CI-012	System must provide the ability to enter comments regarding a Consumer via a free-form text field. System must provide the ability to categorize comments by type. The system must provide the ability to deem comments as 'local only'. System must provide the ability to select from canned comments.	Mandatory			
CI-013	System must provide the ability to enter multiple addresses for a party (e.g., Consumer, family member, Conservator, etc.) by type (e.g., residence, mailing, etc.). System must accommodate US postal standards including the ability to enter international addresses. System must provide the ability to enter Thomas Brother page/coordinate information.	Mandatory			
CI-014	System must provide a minimum of four lines for an address (i.e., person, business name, street address, and city/state/zip/country). System must provide a separate field for suite #/apartment #. System must provide a minimum of 40 characters for each address line.	Mandatory			
CI-015	System must provide the ability to identify out-of-state residences, whether the placement was approved by DDS, approver, and approved date.	Mandatory			
CI-016	System must provide the ability to enter a new Consumer's residence address or change a Consumer's residence address and automatically identify the appropriate Regional Center office based on health district, county, and/or zip code (as appropriate). System must provide the Regional Center office name, address, and central phone number.	Mandatory			
CI-017	System must provide the ability to enter residence information including Vendor number, residence type, facility type, and start/end date. System must validate the Vendor number against the Vendor File. System must automatically populate the residence address and residence type data fields upon entering a Vendor number. If multiple addresses exist, the system must notify the user and provide the ability to select the appropriate address.	Mandatory			
CI-018	System must prompt the user when a Consumer's residence type changes as to whether the residence address must change and vice versa.	Mandatory			
CI-019	System must prompt the user when a Consumer's residence type changes as to whether approved purchase requests must change.	Mandatory			
CI-021	System must maintain an address history for a party. When the party is a Consumer, the address history must include residence type, type of facility, facility size, and date of first night stay.	Mandatory			
CI-022	System must provide the ability to enter the Vendor number of a residential facility and a day program for a Consumer. System must validate the Vendor number against the Vendor File. System must notify the user whether an approved purchase request exists for this Vendor and Consumer.	Mandatory			
CI-023	System must provide the ability to enter day program information including Vendor number, type, school (if applicable), and start/end date. System must provide the ability to enter multiple day programs for a Consumer. System must automatically identify if the Vendor has a valid status within CADDIS.	Mandatory			
CI-024	System must provide the ability to identify Consumers that previously or currently reside in State Developmental Centers, start/end date, regional resource development project and respective address, phone number, and contact person). System must provide for multiple entries.	Mandatory			

ID	Consumer Information: Demographics Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-025	System must provide the ability to enter multiple unique dates for a Consumer (e.g., birthdate, etc.).	Mandatory			
CI-026	System must maintain Consumer financial information. System must automatically retrieve this information from the CADDIS fiscal module (i.e., open purchase requests, approved purchase requests, and trust management information) as well as provide the ability to enter this information.	Mandatory			
CI-027	System must provide the ability to identify Consumers that participate in the parental fee reimbursement program.	Mandatory			
CI-028	System must provide the ability to identify Consumers approved for the self-determination program. System must provide the ability to define a high-level budget for a Consumer based on service/sub code, identify waiver eligibility, track purchase requests and actual spending against the Consumer's budget, and enter fiscal intermediary information (e.g., name, vendor number, etc.).	Mandatory			
CI-029	System must provide the ability to enter health provider information such as name, address, phone number, specialty, and Vendor number. System must provide the ability to enter multiple health providers for a Consumer. System must automatically retrieve health provider information based on entry of the health provider Vendor number.	Mandatory			
CI-030	System must provide the ability to enter a Medi-Cal card identifier and Benefits Identification Card (BIC) number.	Mandatory			
CI-031	System must provide the ability to enter benefit information including type (e.g., SSA, etc.), identification number, amount, date application sent to Social Security Administration, response date, effective date, and completion date. System must provide the ability to enter multiple benefits for a Consumer.	Mandatory			
CI-032	System must provide the ability to enter insurance information such as name, address, phone number, plan code, card number, policy owner, type (e.g., full, MNO, emergency, etc.), share of cost indicator and amount/percentage. System must provide the ability to enter multiple insurers for a Consumer.	Mandatory			
CI-033	System must provide the ability to enter Nursing Home Reform (NHR) information including Level I referral date, Level II assessment data, assessor, facility name, location, and Vendor. System must prompt the user if NHR data is not consistent with the Consumer's residence type.	Mandatory			
CI-034	System must provide the ability to enter immunization information for a Consumer including physician, type, date, and next due date.	Mandatory			
CI-035	System must provide the ability to enter Medicaid waiver information including type of waiver, eligibility indicator, eligibility start and stop dates, date of next certification, receipt of consent forms? indicator, Choice of Placement? indicator, and institutionally deemed? indicator. System must provide the ability to enter multiple waivers for a Consumer. System must maintain a history of waiver data.	Mandatory			
CI-036	System must provide the ability for each Regional Center to define and enter supplemental information regarding a Consumer.	Mandatory			
CI-037	System must provide the ability for generate demographics-related reports and forms.	Mandatory			

VI.F.2.b. Consumer Information: Intake Coordination

Intake Coordination requirements relate to the entering and tracking of application activity data and initial assessment and diagnostic evaluation data of the applicant.

ID	Consumer Information: Intake Coordination Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-038	System must automatically identify to the user any Consumers in the statewide database that have the same last name and date of birth of a new Consumer record being added to prevent duplicate entry of a Consumer.	Mandatory			
CI-039	System must provide the ability to lookup Consumers by: Consumer identifier, last name, date of birth, social security number, parent name, and alias names. The lookup must include exact matches, soundex, and wild card searches.	Mandatory			
CI-040	System must automatically generate a unique pre-registration and registered Consumer identifier. The identifier must satisfy HIPAA requirements. The minimum length of the Consumer identifier must be ten. System must prohibit the duplicate assignment of a Consumer identifier across Regional Centers.	Mandatory			
CI-041	System must provide the ability to enter a primary and back-up Regional Center Staff name and unique identifier to a specific Consumer application.	Mandatory			
CI-042	System must provide the ability to log intake inquiries including date of inquiry, method of inquiry, inquirer's name, last date of contact, action taken, and assigned staff.	Mandatory			
CI-043	System must provide the ability to enter initial inquiry data and generate a completed Intake and Inquiry form.	Mandatory			
CI-044	System must provide the ability to track who referred a Consumer to a Regional Center.	Mandatory			
CI-045	System must maintain a history of activities related to a Consumer's application review process.	Mandatory			
CI-046	System must be able to enter extension data including request date, reason for the extension, reviewer, status, and new due date.	Mandatory			
CI-047	System must track eligibility data including eligibility decision date, whether a Consumer was deemed eligible, and eligibility notification date. System must accommodate multiple entries related to eligibility reviews (i.e., multiple eligibility reviews at different points in time). System must maintain a history of eligibility information related to a Consumer.	Mandatory			
CI-048	System must provide the ability to enter information regarding Consumer referrals to medical staff. Information must include in-house/external? indicator, appointment date, reviewer's name, specialty, Vendor number (if applicable), review type (e.g., assessment, ongoing consultation, etc.), reason for referral, due date, and outcome. System must maintain a history of clinician information related to a Consumer.	Mandatory			
CI-049	System must provide the ability to enter diagnostic and evaluation data (i.e., CDER and Early Start Report data) and the respective diagnoser(s).	Mandatory			
CI-050	System must maintain current diagnosis reference codes (e.g., DSM, ICD, etc.), term, and version (e.g., DSM III, DSM IV, etc.). System must provide the ability to search for diagnosis reference codes by diagnosis term. System must prohibit a user from entering an invalid diagnosis code.	Mandatory			
CI-051	System must provide a secondary diagnosis data field for entering a more specific identifier of a diagnosis reference code.	Mandatory			
CI-052	System must automatically prompt users when a Consumer may qualify for a Medicaid waiver based on diagnostic and evaluation data.	Mandatory			
CI-053	System must provide the ability to transfer related Consumer diagnosis data contained in the Age 0-3 Early Start Report to an initial Age >3 Diagnostic and Evaluation Review.	Mandatory			

VI.F.2.c. Consumer Information: Service Coordination

Service Coordination requirements relate to the case management activities. This includes the entering and tracking of Consumer IPPs/IFSPs, periodic reviews, medications, and special incidents; the tracking of Target Case Management activities and related time spent on each activity; and the identification of Consumer needs and potential Service Providers.

ID	Consumer Information: Service Coordination Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-054	System must provide the ability to identify frequencies related to periodic reviews and contact for a specific Consumer.	Mandatory			
CI-055	System must provide the ability to develop plans (e.g., IPP, IFSP) and periodic review documents (e.g., Annual, Quarterly, etc.) within CADDIS. System must provide the ability for a user to define discrete objectives for a Consumer within an IPP/IFSP. Samples are provided in the Bidder's Library.	Mandatory			
CI-056	System must provide the ability to develop the Personal Outcome Elements (POE) within CADDIS. System must provide the ability to include data currently maintained. A sample is provided in the Bidder's Library.	Mandatory			
CI-057	System must provide the ability to generate the Initial and Annual Conservator documents (i.e., when DDS is Conservator) using data maintained in CADDIS.	Mandatory			
CI-058	System must provide the ability to generate an Annual Review Appendix by providing the ability for a user to select relevant demographics data, medical data, employment data, IPP/IFSP objectives, TCM Notes, and comments (by comment type) for inclusion on the report.	Mandatory			
CI-059	System must automatically identify available Service Providers that meet a defined Consumer's needs. System must provide the ability to narrow a services search by Consumer demographics, service type (e.g., transportation, day programs, etc.), service/sub code, and/or Consumer diagnostic characteristics. For each potential match, the system must provide the respective Service Provider name, location, rate, and vacancy information (if applicable).	Mandatory			
CI-060	System must automatically identify if a Consumer's service needs could not be met by an available Service Provider. System must provide the ability to enter why a Consumer's needs were not met based on predefined codes. System must provide the ability to enter comments regarding unmet needs.	Mandatory			
CI-061	System must provide the ability to identify Consumer services that require internal team reviews or in-house clinician interviews, date of review, and participants.	Mandatory			
CI-062	System must provide the ability to track service options presented to a Consumer, visitation information, and the selected option.	Mandatory			
CI-063	System must provide the ability to print out a Placement Package by enabling the user to select documents that must be included (e.g., periodic reviews, consent forms, IPPs, etc.).	Mandatory			
CI-064	System must provide the ability to enter medication information for a Consumer including medication, frequency, dosages, prescribing physician and contact number, reason for prescription, start and end date, last reviewed data, last updated date, and comments. System must maintain a history of medication information related to a Consumer.	Mandatory			
CI-065	System must provide the ability to generate Medication-related letters and reports.	Mandatory			
CI-066	System must provide the ability to create a Special Incident Report. The system must provide the ability to identify the source of the report (e.g., Vendor, Consumer, etc.), type of incident, Title 17-reportable? indicator, date of the incident, reporting Vendor number/Name (if applicable), responsible Vendor number/Name (if applicable), respective TCM Note, status, author, responsible service coordinator, law enforcement involved indicator, follow-up required indicator, follow-up due date, and comments.	Mandatory			

ID	Consumer Information: Service Coordination Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-067	System must provide the ability to create a Special Incident Follow-up report and associate with an initial Special Incident Report. The system must provide the ability to enter the respective TCM Note ID, author, responsible service coordinator, type of follow-up, date of the follow-up, and whether a incident has been resolved. System must provide the ability to create multiple Special Incident Follow-up reports.	Mandatory			
CI-068	System must provide the ability to enter who a Special Incident Report was sent to, when it was sent, and the method of communication (e.g., mail, fax, etc.).	Mandatory			
CI-069	System must provide the ability to enter mortality-related information including date a death has occurred, cause of death, date the Regional Center was notified, dates coroner report was requested and received, dates a death certificate was requested and received, and comments.	Mandatory			
CI-070	System must provide the ability to enter and track rapid response data including the investigating area board, Consumer, related Life Quality Assessment (LQA) activity, description, visitor name, and visit date.	Mandatory			
CI-071	System must provide the ability to report/query statistical information associated with Special Incident Reports and Rapid Response Reports.	Mandatory			
CI-072	System must provide the ability to generate Special Incident and Rapid Response letters and reports.	Mandatory			
CI-073	System must provide the ability to define Target Case Management (TCM) Service Types (e.g., face-to-face, etc.) related to Title XIX regulation.	Mandatory			
CI-074	System must provide the ability to identify Service Coordinators that are eligible to claim Target Case Management (TCM) Units.	Mandatory			
CI-075	System must provide the ability to identify Consumers for which Target Case Management (TCM) Units may be claimed.	Mandatory			
CI-076	System must provide the ability to enter TCM Notes for a Consumer related to Title XIX regulation. Data must include free-form text, type of TCM Note, Title XIX-related? indicator, activity date and duration, Target Case Unit type and number, and any other data needed to comply with Title XIX regulation. System must provide optional spell check on TCM Notes text fields. System must automatically calculate Target Case Management (TCM) Units based on the activity duration entered.	Mandatory			
CI-077	System must prompt relevant service coordinators for Target Case Management (TCM) Units based on activity performed (e.g., entering TCM Notes, creating IPPs, creating Special Incident Reports, creating periodic reports, address changes, etc.).	Mandatory			
CI-078	System must maintain a running balance of Target Case Management (TCM) Units by type for each Service Coordinator.	Mandatory			
CI-079	System must provide the ability for only the 'owning' service coordinator to change his/her TCM Notes prior to the note becoming 'final'.	Mandatory			
CI-080	System must provide the ability to associate a TCM Note to a report (e.g., IPP, Quarterly, Annual, etc.) and vice versa.	Mandatory			
CI-081	System must provide the ability to export and import Consumer-specific Target Case Management (TCM) data from CADDIS to laptop and vice versa via a CADDIS defined data export and import format.	Mandatory			

ID	Consumer Information: Service Coordination Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-082	System must be able to generate Target Case Management-related letters, forms, and reports.	Mandatory			
CI-083	System must provide the ability to create a transfer request on-line. The system must provide the ability to enter transfer type (e.g., within unit, between Regional Centers, etc.), transfer effective date, sending Regional Center/Unit/staff and receiving Regional Center/Unit staff. The system must provide the ability to include Consumer data contained within CADDIS including fiscal information (e.g., POS, trust balance, etc.).	Mandatory			
CI-084	System must support a Consumer case transfer process that prohibits duplicate data entry and data redundancy across Regional Centers.	Mandatory			
CI-085	System must be able to accommodate shared management cases (i.e., Consumer cases shared by two Regional Centers).	Mandatory			
CI-086	System must be able to generate Transfer-related letters and forms.	Mandatory			
CI-087	System must provide the ability to perform mass transfer of Consumer cases from one service coordinator to another service coordinator.	Mandatory			
CI-088	System must provide the ability to enter purchase requests for a Consumer. The purchase request must integrate with the CADDIS Fiscal module.	Mandatory			
CI-089	System must provide the ability to enter transportation-specific purchase requests for a Consumer that includes detailed transportation needs information such as wheelchair-related, infant seat, medically fragile indicator, greeter required, special instructions, and days/times required. The purchase request must integrate with the CADDIS Fiscal module.	Mandatory			
CI-090	System must provide the ability for authorized users from any Regional Center to generate a purchase request related to another Regional Center's Vendor. If the Regional Center is not the original Vendoring Regional Center, the system must generate a notification to the appropriate person at the Vendoring Regional Center.	Mandatory			
CI-091	System must provide the ability to view all Consumers with open and/or approved purchase requests by service/sub code, Vendor name, Vendor number, and/or user-defined timeframe.	Mandatory			
CI-092	System must provide the ability to create a trust disbursement request on-line.	Mandatory			

VI.F.2.d. Consumer Information: General

These requirements relate to miscellaneous activities and processes that occur under the Consumer Information umbrella.

ID	Consumer Information: General Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-093	System must provide the ability to enter Regional Center Action Notice of Eligibility Denial data including, but not limited to, type of action, when a denial letter was sent and the respective letter identifier.	Mandatory			
CI-094	System must provide the ability to enter Notice of Proposed Action data including, but not limited to, type of action, when a denial letter was sent and the respective letter identifier.	Mandatory			
CI-095	System must provide the ability to enter appeal-related data including, but not limited to, related denial, denial notification date, type of appeal (e.g., eligibility, denial of service, etc.), appeal format (e.g., informal, mediation, due process, State, etc.), the Regional Center employee involved in the appeal, appeal resolution date, and outcome.	Mandatory			

ID	Consumer Information: General Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-096	System must provide the ability to enter Office of Client Rights Advocacy (OCRA) complaint-related information including but not limited to, source of complaint, date filed, related Vendor (if applicable), type of complaint, allegation, investigator(s) assigned, substantiated?, review date(s), investigation results, action(s) taken, outcome, and date resolved.	Mandatory			
CI-097	System must capture Consumer statistical information required to meet DDS reporting requirements. System must be able to perform statistical reporting based on Regional Center, Office, unit, Intake/Service Coordinator, case load, and Consumer characteristics.	Mandatory			

VI.F.2.e. Consumer Information: Desirable Requirements

This section identifies the Desirable requirements associated with the Consumer Information functional area. Two (2) points will be assigned if acceptable responses are provided for Desirable requirements.

ID	Consumer Information: Desirable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
CI-098	System should provide the ability to enter probation, parole, and diversion information including arrests, type of offense, convictions, start/end date, report type (e.g., probation, court, type of offense, etc.), and comments (e.g., name of probation officer, phone number, etc.). System should provide the ability to associate this information to a Special Incident Report.	Desirable			
CI-099	System should provide the ability to enter a Consumer's transportation situation information including accessible public transportation type and proximity, intended use of transportation, and alternative transportation options (e.g., parents, etc.).	Desirable			
CI-100	System should notify the original author when a Consumer's Target Case Management (TCM) information is altered by another user. System should identify date altered and the respective user.	Desirable			

VI.F.3. Vendor Information Requirements

The Vendor Information requirements define the functional attributes associated with the vendor application process and the approval of qualifying vendors, as well as the monitoring of Service Provider vendor as dictated by Title 17 and Title 22. The Vendor Information Requirements section includes the following sub-sections:

- Demographics (All Vendors);
- Demographics (Service Providers only);
- Resource Development;
- Service Provider Rates;
- Service Provider Monitoring; and
- General.

VI.F.3.a. Vendor Information: Demographics (All Vendors)

The Vendor Information: Demographics (All Vendors) requirements relate to the entering and tracking of vendor demographic data for both Operational vendors and Service Provider vendors.

ID	Vendor Information: Demographics (All Vendors) Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-001	System must provide the ability to identify Vendor type (e.g., Operational, Service Provider, Money Management Consumer, Generic, Natural Support, etc.).	Mandatory			
VI-002	System must provide a minimum of 40 characters for Vendor name. System must provide the ability to enter and associate alias names for a Vendor. System must maintain a history of alias names.	Mandatory			
VI-003	System must provide a minimum of four lines for an address (i.e., person, business name, street address, and city/state/zip/country). System must provide a separate field for suite #/apartment #. System must provide a minimum of 40 characters for each address line.	Mandatory			
VI-004	System must provide the ability to enter multiple addresses for a Vendor by address type (e.g., billing, mailing, etc.). System must accommodate US postal standards including the ability to enter international addresses. System must provide the ability to enter Thomas Brother page/coordinate information.	Mandatory			
VI-005	System must maintain an address history for a Vendor.	Mandatory			
VI-006	System must provide the ability to enter multiple phone numbers for a Vendor by type (e.g., office, fax, cellular, etc.). System must accommodate 11 digits and an extension of 5 digits.	Mandatory			
VI-007	System must provide the ability to identify a Vendor as a family member of a specific Consumer.	Mandatory			
VI-008	System must provide the ability to enter Vendor tax identifier(s), Vendor tax ID name, business form (e.g., corporation, etc.), business license number, non-profit identifier, and whether a 1099 form must be generated. System must provide a minimum of 60 characters for a Vendor tax ID name.	Mandatory			
VI-009	System must provide the ability to enter Vendor contact information including name, contact type (e.g., licensee, liaison, fiscal, dispatcher, etc.), address(es), phone number(s), and email address. System must provide the ability to enter multiple contacts.	Mandatory			

ID	Vendor Information: Demographics (All Vendors) Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-010	System must provide the ability to identify whether a Vendor accepts Medi-Cal and Medicare, the respective Medi-Cal and Medicare identifier, and start/end date.	Mandatory			
VI-011	System must maintain an overall Vendor status and a Regional Center-specific Vendor status (for shared Vendors), respective status start/end date, and status history. The system must provide the ability to identify the vendoring Regional Center associate with the vendor record.	Mandatory			
VI-012	System must provide the ability to enter comments regarding a Vendor via a free-form text field. System must provide the ability to categorize comments by type. The system must provide the ability to deem comments as 'local only'. System must provide the ability to select from canned comments.	Mandatory			
VI-013	System must provide the ability to identify whether Vendor information can be posted to the Internet.	Mandatory			
VI-014	System must provide the ability to identify whether a Vendor is electronically billing Regional Centers for each respective service/sub code which service is provided. System must provide the ability to enter Vendor bank information to support electronic payments.	Mandatory			
VI-015	System must provide the ability to enter a Vendor's URL web-site.	Mandatory			
VI-016	System must provide the ability for each Regional Center to define and enter supplemental information regarding a Vendor.	Mandatory			

VI.F.3.b. Vendor Information: Demographics (Service Providers only)

The Vendor Information: Demographics (Service Providers only) requirements relate to the entering and tracking of vendor data that is applicable only to Service Provider vendors.

ID	Vendor Information: Demographics (Service Provider only) Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-017	System must provide the ability to define and maintain on-line DDS-approved and Regional Center-approved service/sub codes and their respective descriptions. System must enforce that service/sub codes defined in CADDIS follow HIPAA and HCFA rules.	Mandatory			
VI-018	System must provide the ability to enter geographical area(s) serviced by a Service Provider (e.g., counties, health districts, etc.).	Mandatory			
VI-019	System must provide the ability to associate multiple Service Providers, programs, and locations to a single owner (i.e., parent company) and/or tax identifier.	Mandatory			
VI-020	System must provide the ability to enter Service Provider preferences (e.g., age, geographic area, etc.), special services that can be supported by the Service Provider (e.g., G-tube feeding, medically fragile, wheelchair accessibility, etc.), and service level code.	Mandatory			
VI-021	System must provide the ability to enter Service Provider insurance-related information including insurance type, expiration date, liability dollar amount, and date of last review. System must provide the ability to enter multiple insurers.	Mandatory			
VI-022	System must provide the ability to enter licensing violation and suspension information for a Service Provider.	Mandatory			

ID	Vendor Information: Demographics (Service Provider only) Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-023	System must provide the ability to enter public transportation information including Service Provider name (e.g., El Dorado Transit, etc.), type of passes/coupons offered, cost per pass/coupon, description of pass/coupon (e.g., 20 one-way rides, etc.), effective date, and cancellation date.	Mandatory			
VI-024	System must provide the ability to define transportation route information including route name, stops, and frequency for transportation-related Service Provider.	Mandatory			
VI-025	System must provide the ability to enter facility status and start/end date. System must provide the ability to enter Service Provider facility location information, characteristics, and potential hazards (e.g., located near body of water, etc.).	Mandatory			
VI-026	System must provide the ability to enter exceptions and waiver information (e.g., age, etc.).	Mandatory			
VI-027	System must provide the ability to identify a facility as non-Vendorized and residence type (e.g., ICF, FHA, etc.), and enter related information including license date, facility certification expiration date, names of the adults residing in the facility, and date clearance letter was received.	Mandatory			
VI-028	System must provide the ability to enter capacity maximums Regional Center-defined capacity, license capacity, and facility capacity by capacity type (e.g., wheelchair, gender, etc.).	Mandatory			
VI-029	System must provide the ability to enter facility vacancy information including vacancy count by vacancy type/combination of vacancy types (e.g., gender, age, ambulatory/non-ambulatory, language, smoking/non-smoking, wheelchair, etc.). System must maintain vacant vs. filled spaces information. System must be able to automatically retrieve this information from the CADDIS fiscal module, utilizing purchase request and authorization information from all Regional Centers, as well as provide the ability to enter this information.	Mandatory			
VI-030	System must provide the ability to enter staffing requirements information. System must provide the ability to enter information associated with a Service Provider's staff including, name, position, specialties, languages spoken, hire date, background check date, fingerprints received date, and certifications/licenses and respective expiration dates. System must provide the ability to enter a Service Provider's average salary/wage for various staff types (e.g., direct care staff, etc.), wage start/end dates, and the staff turnover rate.	Mandatory			

VI.F.3.c. Vendor Information: Resource Development

The requirements in this section relate to the entering and tracking of Service Provider application activity data.

ID	Vendor Information: Resource Development Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-031	System must track Vendor application-related information including who referred an applicant, date application was sent to an applicant, last application receipt date, application status, service type (e.g., transportation, day program, etc.), respective service/sub code, contact person, date last reviewed, and all related correspondences between a Regional Center and an applicant.	Mandatory			
VI-032	System must automatically generate a unique pre-registration and registered Vendor number based on the Vendor type. If the Vendor is a Service Provider, the identifier must satisfy HIPAA requirements (currently 10 characters). System must prohibit the duplicate assignment of a Vendor number across Regional Centers.	Mandatory			

ID	Vendor Information: Resource Development Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-033	System must provide the ability to enter a primary and back-up Regional Center resource developer name and unique identifier to a specific Vendor application.	Mandatory			
VI-034	System must list required application forms (e.g., W-9, Conflict of Interest, etc.) and provide the ability to enter the date each form was received, effective date, and expiration date (if applicable).	Mandatory			
VI-035	System must maintain a history of activities related to a Vendor's application review process.	Mandatory			
VI-036	System must provide the ability to identify an application as 'emergency' and enable application processing that is consistent with Title 17 regulation.	Mandatory			
VI-037	System must provide the ability to identify if a program design is needed from a Service Provider, status, date submitted, date approved, author, last review date, reviewed by, and review results.	Mandatory			
VI-038	System must track New Program Development (NPD) information including the prospective Service Provider, status, amount of program funds issued, service/sub code, description of services to be provided, fund availability start date, and fund availability end date.	Mandatory			
VI-039	System must provide the ability to track application approval information including the Vendoring Regional Center, status, approval date, service start date, requesting Regional Center (if applicable), and rate-related information.	Mandatory			
VI-040	System must provide the ability to generate letters and reports related to the Resource Development process including Rate-related letters and reports.	Mandatory			

VI.F.3.d. Vendor Information: Service Provider Rates

The requirements in this section relate to the entering and tracking of Service rates and fiscal data submissions.

ID	Vendor Information: Service Provider Rates Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-041	System must provide the ability to enter global rate information for a specific service/sub code including, authorized rate, lower/upper rate limit, unit of service, effective date, expiration date, source (e.g., local, DDS, etc.), basis, waiver eligible? identifier, and respective general ledger account.	Mandatory			
VI-042	System must provide the ability to enter Service Provider-specific rate information associated with a service/sub code including cost statement rate, negotiated rate, authorized rate, rate type (e.g., permanent, temporary, etc.), effective date, expiration date, authorized lower/upper rate limit, unit of service, 'enhanced' rate indicator, source, basis, respective general ledger account, approver, and comments. System must provide the ability to query this information. System must provide the ability for each RC to define RC-specific rates for each Service Provider and service/sub code.	Mandatory			
VI-043	System must provide the ability to define multi-rate schedules that can be applied based on usage (e.g. number hours of usage, number Consumers served, units of service received, etc.).	Mandatory			
VI-044	System must generate a message to the user when the Service Provider's proposed rate is above the upper rate limit or below the lower rate limit.	Mandatory			
VI-045	System must provide the ability to apply global rate changes for all Service Providers, for all Service Providers serving a specific Regional Center(s), or for all Service Providers within a specific service/sub code. The global rate change must have a start and end date.	Mandatory			

ID	Vendor Information: Service Provider Rates Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-046	System must provide the ability to apply retroactive rate changes. Based on the start date of the rate change, system must automatically encumber or dis-encumber funds based on payments made under the previous rate and generate the respective turn-around invoices.	Mandatory			
VI-047	System must maintain a rate history for each Service Provider and respective service/sub code.	Mandatory			
VI-048	System must provide the ability to enter Service Provider cost determination information including administrative cost information by various categories, operating expense information by various categories, and method for allocating costs. System must provide the ability to enter the date cost statement(s) were received, date approved, and the approver.	Mandatory			
VI-049	System must provide the ability to enter rate adjustments requested by a Service Provider, reviewer, decision date, and effective date.	Mandatory			

VI.F.3.e. Vendor Information: Service Provider Monitoring

The requirements in this section relate to the entering and tracking of data that results from the monitoring of Service Providers.

ID	Vendor Information: Service Provider Monitoring Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-050	System must provide the ability to track Provider Monitoring-related information including type of activity (e.g., Title 17, Evaluation, Fiscal Audit, LQA, etc.), type of visit (e.g., unannounced, announced annual, etc.), type of evaluation (e.g., initial, follow-up), evaluation date(s), Regional Center staff participant(s), Service Provider staff participant(s), related Consumer(s) (if applicable), evaluation results, and comments.	Mandatory			
VI-051	System must provide the ability to identify the frequency of Provider Monitoring-related visits by service/sub code and by type of Provider Monitoring activity. System must automatically calculate the due date of the next required Provider Monitoring activity type based on the last activity date and frequency defined in Title 17 regulation. System must automatically identify and create a report of all required Provider Monitoring activities for a user-defined timeframe.	Mandatory			
VI-052	System must provide the ability to track reports submitted by Service Providers.	Mandatory			
VI-053	System must provide the ability for each Regional Center to define and enter supplemental information regarding Provider Monitoring-related activities.	Mandatory			
VI-054	System must provide the ability to track Reports of Consumer Progress information including date due, date received, related Consumer(s), and author.	Mandatory			
VI-055	System must maintain a history of Service Provider Monitoring-related activities associated with a Service Provider.	Mandatory			
VI-056	System must provide the ability to generate the Service Provider Monitoring-related letters and reports.	Mandatory			

ID	Vendor Information: Service Provider Monitoring Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-057	System must provide the ability to enter Corrective Action Plans (CAPs). System must provide the ability to enter due date, regulation(s) violated, triggering event, date CAP was prepared, corrective actions, status of corrective action, follow-up review date, reviewer, date when corrected, and final resolution. System must maintain a history of CAPs.	Mandatory			
VI-058	System must provide the ability to enter sanction-related information including reason for sanction, type of sanction, Service Provider's responsibilities, sanction start/end date, Regional Center-staff assigned, date reviewed, reviewer, and results. System must provide the ability to associate a sanction to a ~~Provider Monitoring-related activity (e.g., Title 17, Evaluation, Fiscal, etc.).~~Corrective Action Plan (CAP). System must maintain a history of sanctions.	Mandatory			
VI-059	System must provide the ability to enter immediate danger information including Consumer, respective Service Provider, when/how the Service Provider was notified, action performed by the Regional Center, action required by the Service Provider, and the resolution.	Mandatory			
VI-060	System must provide the ability to generate immediate danger letters and reports.	Mandatory			

VI.F.3.f. Vendor Information: General

These requirements relate to miscellaneous activities and processes that occur under the Vendor Information umbrella.

ID	Vendor Information: Demographics (All Vendors) Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-061	System must track denial-related data including type of denial (e.g., facility, audit, application, etc.), sub-type (e.g., sanction, etc.), reason for denial, when a denial letter was sent, and the respective letter identifier.	Mandatory			
VI-062	System must track appeal-related data including, but not limited to, related denial, denial notification date, type of appeal (e.g., facility, audit, vendorization, etc.), sub-type (e.g., sanction, etc.), appeal level (e.g., local, State, etc.), status, status start/end date, the Regional Center employee involved in the appeal, appeal resolution date, and appeal resolution.	Mandatory			

VI.F.3.g. Vendor Information: Desirable Requirements

This section identifies the desirable requirements associated with the Vendor Information functional area. Ten (10) points will be assigned if acceptable responses are provided for Highly Desirable elements. Two (2) points will be assigned if acceptable responses are provided for Desirable requirements.

ID	Vendor Information: Desirable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
VI-063	System should provide the ability to enter data related to activities provided by Regional Center staff to support Service Providers (e.g., technical assistance, etc.) including activity type, activity date, activity duration, respective Regional Center staff person, and free-form text. System must provide the ability for only the Regional Center owner to change his/her own Note. System must provide the ability to export and import Service Provider Notes from system to laptop and vice versa.	Highly Desirable			
VI-064	System should provide the ability to enter a Service Provider's fleet information including vehicle size, model, vehicle identification number, model and year, mileage, number of routes, overnight park-out location, wheelchair accessibility, on-board communication device, and whether the vehicle is equipped with air conditioning. System should provide the ability to enter the date a CHP vehicle inspection has occurred and the results of the inspection.	Desirable			

VI.F.4. Fiscal Requirements

The Fiscal requirements define the functional attributes associated with the accounting and fiscal processes performed locally at each Regional Center, as well as by DDS. This includes the recording and tracking of revenues and expenses for the Regional Center and the State, as well as Consumer-specific revenue (i.e., source of funds) and expenses (i.e., Service Provider payments). The Fiscal Requirements section includes the following sub-sections:

- General;
- General Ledger;
- Purchase Request;
- Accounts Payable;
- Trust Management;
- Accounts Receivable;
- Fixed Assets;
- Budget Management; and
- Other Fiscal (includes Loans, Cash Management, Contract Management, and Audit).

VI.F.4.a. Fiscal: General

The General requirements with the Fiscal area specify features and functionality that should exist throughout the Fiscal module.

ID	Fiscal: General Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-001	System must accommodate amounts of $99,999,999,999.99.	Mandatory			
FI-002	System must default the transaction date and posting date to the system date. System must allow the user to override default dates with a reasonable date. System must generate a warning message when entered dates are outside the current fiscal year.	Mandatory			
FI-003	System must maintain on-line the current year and six prior years of accounting data.	Mandatory			
FI-004	System must provide the ability to support electronic funds transfer (EFT), electronic data interchange (EDI) with Vendors, and electronic billing.	Mandatory			
FI-005	System must create a monthly turn-around invoice file that serves as input to DDS' Electronic Billing System (EBS). System must provide the ability to upload into CADDIS a file generated from DDS' Electronic Billing System that includes updated turn-around invoice information and Consumer participation information. The file formats are provided in RFP-DDS-0016 Appendix G.	Mandatory			
FI-006	System must enforce GAAP accounting and fund accounting rules.	Mandatory			
FI-007	System must provide the ability to generate standard financial reports to satisfy GAAP rules and requirements. A sample listing of standard financial reports is provided in RFP-DDS-0016 Appendix C.	Mandatory			
FI-008	System must provide the ability to generate state-required financial statements. System must provide the ability to generate federal-required financial statements.	Mandatory			

ID	Fiscal: General Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-009	System must automatically change a Vendor's status to 'inactive' if there is no fiscal activity related to the Vendor for two years. System must automatically generate an Inactivation Notification for distribution to the vendor	Mandatory			
FI-010	System must provide the ability to perform global changes across multiple fiscal records (e.g., when a Vendor's name or address changes, etc.).	Mandatory			
FI-011	System must satisfy 1099 reporting requirements, rules and tax form generation (e.g., 1099-INT, 1099-MISC, etc.). System must provide the ability to define the form generation order (e.g., by taxpayer ID, alphabetically, etc.). Support federal reporting state tax reporting electronic filing.	Mandatory			
FI-012	System must provide the ability to generate files required for federal and state tax reporting.	Mandatory			
FI-013	System must provide the ability to enter and generate federal and state fiscal application forms using data contained within CADDIS (e.g., Medicaid waiver, nursing care reform NHR billing, etc.).	Mandatory			

VI.F.4.b. Fiscal: General Ledger

The General Ledger requirements identify features and functionality that must be provided by the CADDIS' general ledger, including functionality related to defining and maintaining the general ledger account structure, creating journal entries, and operating within financial periods.

ID	Fiscal: General Ledger Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-014	System must provide a chart of account structure that can accommodate the following information: fund, cost center, program, department, sub-department, and account number. The minimum general ledger account length must be 15 characters. System must provide the ability for authorized users to add Regional Center-specific accounts. System must provide the ability to view the chart of accounts structure on-line. System must provide the ability to identify whether an account is state claimable.	Mandatory			
FI-015	System must provide the ability to query current general ledger account balances for a user-defined period of time (e.g., quarter-to-date, year-to-date, etc.).	Mandatory			
FI-016	System must provide the ability to associate a valid service/sub code with a general ledger account.	Mandatory			
FI-017	System must provide the ability to create, edit, and post journal entries on-line. System must provide the ability to review and verify journal entries on-line prior to posting.	Mandatory			
FI-018	System must provide the ability for authorized users to edit system-generated journal entries on-line. System must provide the ability to review and verify journal entries on-line prior to posting.	Mandatory			
FI-019	System must provide an on-screen, real-time running balance of debit and credit totals for a journal entry.	Mandatory			
FI-020	System must provide the ability to create and post journal entries through a batch process.	Mandatory			
FI-021	System must automatically generate journal entry numbers that are unique and distinguishable by Regional Center and function (e.g., revenue transaction, ops transaction, etc.).	Mandatory			
FI-022	System must automatically generate journal entries, as applicable (e.g., recurring journal entries, accounts payable transactions, accounts receivable transactions, etc.).	Mandatory			

ID	Fiscal: General Ledger Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-023	System must provide the ability for authorized users to manually create journal entries that include description, debit/credit amount, and respective general ledger accounts. For each journal entry, the system must maintain creation date/user, date/user posted, and Consumer identifier (if applicable).	Mandatory			
FI-024	System must provide the ability to create recurring journal entries and journal entry templates.	Mandatory			
FI-025	System must maintain a history of each journal entry. Information must include the original journal entry data, the corrected journal entry data, and the respective user ID and transaction date(s).	Mandatory			
FI-026	System must provide the ability for authorized users to perform prior period adjustments. System must provide the ability for authorized users to reverse journal entries in a single step. System must provide authorized users the ability to post journal entries to a closed financial period.	Mandatory			
FI-027	System must provide the ability to generate month-end accruals. System must provide authorized users the ability to reverse accruals in a subsequent financial period.	Mandatory			
FI-028	System must automatically notify the user on-line of errors related to a journal entry that is being created or updated (e.g., prohibit a user from posting a journal entry that is not in balance).	Mandatory			
FI-029	System must provide the ability to query on journal entries (i.e., specific, range, or all journal entries) by status (e.g., posted, not posted, etc.) within a user-defined period of time.	Mandatory			
FI-030	System must provide the ability to define preliminary and final closings for a financial period. System must provide the ability to identify the status of a financial period (e.g., open, closed, etc.).	Mandatory			
FI-031	System must provide the ability to have multiple financial periods open at one time.	Mandatory			
FI-032	System must provide the ability to define and generate account reconciliation-related reports and account exception reports.	Mandatory			

VI.F.4.c. Fiscal: Purchase Request

The requirements in this section relate to the entering and tracking of purchase requisitions for operational vendors that supply goods and services to a Regional Center and Service Providers that provide goods and services to a Consumer.

ID	Fiscal: Purchase Request Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-033	System must provide the ability to create a purchase request on-line that includes the following information: purchase request type (e.g., Service Provider, Operations, Trust Management, etc.), Vendor name, number, and address, payment frequency, service frequency and Consumer (if applicable), service/sub code (if applicable), units of service, rate, service start/end date, generate invoice? indicator, next review date, and comment. System must provide the ability to identify whether the purchase request is a lump sum purchase request.	Mandatory			
FI-034	System must provide the ability to enter and track purchase request status (e.g., approved, review required, etc.) and status start/end date. System must provide the ability to maintain a status for each line item included on a purchase request (e.g., received, etc.).	Mandatory			
FI-035	System must automatically generate unique purchase request numbers.	Mandatory			
FI-036	System must provide the ability to create a blanket purchase request.	Mandatory			

ID	Fiscal: Purchase Request Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-037	System must prohibit the creation of a new purchase request for Vendor with an inappropriate Vendor status code (e.g. deleted, etc.) and service date.	Mandatory			
FI-038	System must provide the ability to associate a state claim to an invoice payment. System must provide the ability to associate the state claim to the Service Provider's invoice and all the respective Consumers reflected in the Service Provider's invoice .	Mandatory			
FI-039	System must provide the ability to inquire on a purchase request(s) by e.g., purchase request number, purchase request status, Vendor number, or Vendor name. Consumer ID and name; user defined period of time; service period; service code/sub code	Mandatory			
FI-040	System must provide the ability to generate Purchase Request-related reports.	Mandatory			
FI-041	System must provide the ability for an authorized user to modify or addend an existing purchase request and reset the purchase request status to 'review required' to enable the approval process.	Mandatory			
FI-042	System must generate a warning when a new Service Provider-related purchase request is created or approved for a Consumer with an inappropriate status code (e.g. inactive, deceased, etc.) and for inappropriate service start and end dates.	Mandatory			
FI-043	System must generate a warning when a new Service Provider-related purchase request is created or approved and the Service Provider's licensing, insurance, or rates are not current.	Mandatory			
FI-044	System must provide the ability to associate an applicable purchase request or money management invoice to a Consumer's IPP/IFSP objective.	Mandatory			
FI-045	System must automatically update a Service Provider's facility vacancy information based on approved purchase request data. System must provide an on-line warning when a new purchase request will result in a Service Provider exceeding its Regional Center-defined capacity.	Mandatory			
FI-046	System must perform reasonableness validation edits on Service Provider-related purchase request based on existing Consumer purchase requests and demographic data (e.g., prohibit mutually-exclusive service codes, etc.).	Mandatory			

VI.F.4.d. Fiscal: Accounts Payable

The requirements in this section relate to creating and tracking invoices and respective payments. The major invoice type is the 'turnaround invoice' for Service Providers that have provided goods and services to a Consumer and are paid by a Regional Center using state and federal funds entitled to the respective Consumer.

ID	Fiscal: Accounts Payable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-047	System must automatically interface real-time Accounts Payable with the Provider Information module to obtain Vendor demographic information (e.g., name, address, 1099 indicator, rates, approved service/sub codes, etc.).	Mandatory			
FI-048	System must perform three-way matching (i.e., matching purchase request to invoice to payment).	Mandatory			
FI-049	System must provide the ability to define discount terms.	Mandatory			
FI-050	System must identify and generate a report of Vendors who must be reported to the respective State agency for child support verification based on payments made by the Regional Center (i.e., notification of new Vendors and Vendors receiving >$600).	Mandatory			

ID	Fiscal: Accounts Payable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-051	System must provide the ability to generate Accounts Payable-related reports.	Mandatory			
FI-052	System must maintain a history of Accounts Payable activity for each Vendor.	Mandatory			
FI-053	System must provide the ability to generate various types of invoices including operational, Service Provider (i.e., 'turn-around'), third-party, and Consumer (i.e., 'money management'). System must provide the ability to generate an invoice based on an authorized purchase request or authorized trust disbursement request. System must provide the ability to associate an invoice to a contract.	Mandatory			
FI-054	System must provide the ability to review a preliminary invoice on-line and for an authorized user to change or delete an invoice prior to printing.	Mandatory			
FI-055	System must provide the ability to reprint an invoice.	Mandatory			
FI-056	System must provide the ability to create recurring invoices.	Mandatory			
FI-057	System must provide the ability to generate electronic invoices for use through Electronic Data Interchange (EDI) or other electronic transmission methods.	Mandatory			
FI-058	System must provide the ability to generate turn-around invoices associated with a specific Service Provider and/or service/sub code. System must include service/sub code and description, Consumer(s), respective source of funds, anticipated rates and total service units (e.g., # of hours, # of days, etc.), anticipated total turn-around invoice amount, and remaining balance on the service authorization for the period. System must apply the appropriate rates based on the rate effective and expiration date.	Mandatory			
FI-059	System must prohibit the generation of a turn-around invoice for a Service Provider and service/sub code when insufficient hours/funds remain on the respective authorized purchase request.	Mandatory			
FI-060	System must provide the ability to upload a standard format electronic file containing participation information (e.g., date, number of units, Consumer, etc.) associated with a turn-around invoice.	Mandatory			
FI-061	System must provide the ability to enter the anticipated CPT code and SMA rate on a turn-around invoice. System must provide the ability to enter the actual CPT code and SMA rate for services performed upon receipt of a completed turn-around invoice.	Mandatory			
FI-062	System must provide the ability to enter third-party billing information (e.g., insurance company, school district, etc.) associated with an approved purchase request. System must provide the ability to enter third-party name and address, total amount, third-party amount, state claim amount, amount paid, payment recipient (e.g., Regional Center, Service Provider, etc.), and payment received date.	Mandatory			
FI-063	System must provide the ability to generate ACH payment transactions. System must provide the ability to enter bank information to generate the ACH transactions such as bank identification, name, routing codes, etc.	Mandatory			
FI-064	System must automatically generate a payment for turn-around invoices that have the proper status (i.e., updated turn-around invoice and participation information has been received and service dates are correct).	Mandatory			
FI-065	System must provide the ability to generate recurring disbursements.	Mandatory			
FI-066	System must prohibit the use of committed funds for unrelated disbursements.	Mandatory			
FI-067	System must provide the ability for authorized user to reverse an ACH payment.	Mandatory			
FI-068	System must automatically notify the user real-time when a duplicate payment is being recorded.	Mandatory			

ID	Fiscal: Accounts Payable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-069	System must ensure that Service Providers are paid only for the period that service was performed.	Mandatory			
FI-070	System must enable a collection due from a Vendor's parent company based on the Vendor's tax identifier.	Mandatory			
FI-071	System must provide the ability to perform a stop payment. System must provide the ability to generate a replacement check and associate it with the original check number and generation date	Mandatory			
FI-072	System must provide the ability to apply a prior payment correction. System must reflect the correction in the respective fiscal Accounts Payable and General Ledger modules.	Mandatory			
FI-073	System must provide the ability to create and delete a credit memo.	Mandatory			
FI-074	System must provide the ability to enter and reverse credits to Vendors. System must provide the ability to associate the credit with an approved purchase request, Vendor number, or Vendor tax identifier. System must provide the ability to identify the general ledger accounts to which the credit must be applied. System must provide the ability to offset future payments with a credit.	Mandatory			
FI-075	System must provide the ability to apply refunds from Service Providers across a user-defined group of Consumers and for a user-defined period of time.	Mandatory			
FI-076	System must provide the ability to establish state and federal agencies as Vendors (e.g., Internal Revenue Service, Franchise Tax Board, etc.) and generate garnishment payments/checks. System must provide the ability to enter garnishment information such as applicable Service Provider, source (e.g., IRS, FTB, etc.), source letter received date, effective date, total amount, withholding amount, duration, and source letter received date. System must provide the ability to define a single payment withholding or a specific dollar amount for a specified period of time.	Mandatory			
FI-077	System must provide the ability to generate payment-related reports.	Mandatory			
FI-078	System must provide an on-line payment history.	Mandatory			
FI-079	System must provide the ability to define check batches that can include a single check to satisfy multiple invoices associated with a Vendor.	Mandatory			
FI-080	System must provide the ability for an authorized user to add, change, or delete checks within a batch before the batch is processed in a check run.	Mandatory			
FI-081	System must provide the ability to define and schedule check runs. System must provide the ability to process several check batches in a single check run. System must provide the ability to stop and re-start a check run. System must provide the ability to void a range of checks that result from an error in the check run process.	Mandatory			
FI-082	System must prohibit the duplicate assignment of a check number. The minimum check number length must be 10 digits.	Mandatory			
FI-083	System must provide the ability to create and track manual check(s).	Mandatory			
FI-084	System must provide the ability to generate a check without requiring a Vendor number (e.g., money management checks to Consumer).	Mandatory			
FI-085	System must automatically default to the next available check number and allow the user to override the check number.	Mandatory			
FI-086	System must provide the ability for an authorized user to override a default Vendor or Service Provider address on a check.	Mandatory			
FI-087	System must provide the ability to create canned check memo text or enter check-specific memo text.	Mandatory			
FI-088	System must provide the ability for an authorized user to void and reissue a check.	Mandatory			

ID	Fiscal: Accounts Payable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-089	System must provide the ability to print checks using pre-formatted check stock. System must accommodate multiple check stock types.	Mandatory			
FI-090	System must provide the ability to inquire on a check by check number, payee number, payee name, and issue date.	Mandatory			
FI-091	System must provide an on-line check history that includes all adds, changes, deletions, voids, and replacements.	Mandatory			

VI.F.4.e. Fiscal: Trust Management

The Fiscal: Trust Management requirements identify features and functionality related to the definition of source of funds income for a Consumer from state and federal sources and the respective approved utilization of the funds.

ID	Fiscal: Trust Management Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-092	System must provide the ability to identify a Consumer as a trust client and/or money management client, the respective status (e.g., active, closed, etc.), and the respective status start/end dates.	Mandatory			
FI-093	System must provide the ability to define trust management accounts for Consumers and track related fiscal activities. System must provide the ability to enter bank deposit information including respective source of funds, individual/group account indicator, bank account type (e.g., checking, savings, etc.), bank account number, direct deposit indicator, and interest earned indicator. System must provide the ability to define multiple bank accounts for a Consumer.	Mandatory			
FI-094	System must provide the ability to enter representative payee information including type (e.g., Regional Center, third-party, etc.), name, address, phone, relationship to Consumer, and applicable source of funds (e.g., SSA, Veterans Administration, etc.). If the representative payee is a Service Provider, the system must provide the ability to enter the Vendor number and automatically retrieve the respective Service Provider name. System must provide the ability to enter multiple representative payees for a Consumer.	Mandatory			
FI-095	System must provide the ability to enter source of funds information for a trust management Consumer including fund type, fund name, application date, start/end date, representative payee, approved disbursement type (e.g., Board & Care, Personal & Incidental, Burial, etc.), anticipated monthly and/or lump sum amount, status, and comments. System must provide the ability to enter multiple sources of funds for a Consumer.	Mandatory			
FI-096	System must provide the ability to enter Consumer employment data (e.g., employer, dates, earnings, impact on SSI limit, number of days work, etc.). System must maintain a history of Consumer employment information. System must provide the ability to enter whether the respective social security forms were received and date received. System must provide the ability to enter multiple employers.	Mandatory			
FI-097	System must provide the ability to enter information related to the receipt of a Consumer's source of funds payments including check number, date, amount, source of funds, routing number (if applicable) and comments.	Mandatory			
FI-098	System must provide the ability to change a Consumer's source of fund amount and apply the new amount to the respective approved purchase requests and invoices based on the start date. System must automatically determine the new encumber amount based on the new source of fund amount (if applicable).	Mandatory			

ID	Fiscal: Trust Management Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-099	System must provide the ability to display on-line a Consumer's loan balances, outstanding receivable balances, committed funds, encumbered funds, and available trust account balances as of a user-defined date.	Mandatory			
FI-100	System must automatically determine and apply interest to a Consumer's trust account based on Consumer status, account balance, and interest earned indicator.	Mandatory			
FI-101	System must prohibit a disbursement from a Consumer's trust account if funds are insufficient (i.e., a Consumer's trust account may not have a negative balance). System must prohibit the disbursement of money management-related funds until all Service Provider-related payment commitments can be met.	Mandatory			
FI-102	System must automatically calculate, distribute and track interest paid to each applicable Consumer trust account based on total interest earned, as reported by the Regional Center-specific financial institution.	Mandatory			
FI-103	System must provide the ability to support subsidiary accounts funds.	Mandatory			
FI-104	System must provide the ability to define an unlimited number of source of funds types (e.g., SSI, VA, etc).	Mandatory			
FI-105	System must provide the ability to associate multiple source of funds (e.g., SSA, VA, etc.) to a Consumer's approved purchase request.	Mandatory			
FI-106	System must provide the ability to apply the SSI and SSA-related rate changes to the correct Consumers based on an effective date. System must provide the ability to apply global rate changes. The global rate change must have a start and end date.	Mandatory			
FI-107	System must provide the ability to identify retro-payments for a Consumer's source of fund (e.g., SSA, VA, etc.) and the due date by which retro-payments must be spent.	Mandatory			
FI-108	System must maintain an on-line fiscal summary that identifies how much funding was authorized for a Consumer, how much is encumbered, how much has been utilized, and the running balance per purchase request.	Mandatory			
FI-109	System must track Consumer source of funds history.	Mandatory			
FI-110	System must provide the ability to categorize money management disbursements (e.g. rent/shelter, cable, Personal & Incidental, allotments, etc.).	Mandatory			
FI-111	System must track a Consumer's money management-related history.	Mandatory			
FI-112	System must provide the ability to generate money management-related reports.	Mandatory			

VI.F.4.f. Fiscal: Accounts Receivable

The requirements in this section include accounts receivable features that address establishing Regional Center-specific accounts receivables, tracking the receipt of a Consumer's source of fund income, and creating a Regional Center-specific state claim to file with DDS for reimbursement of funds expended on operational expenses and Consumer goods and services.

ID	Fiscal: Accounts Receivable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-113	System must provide an accounts receivable module that tracks monies owed. System must support multiple accounts receivable types (e.g., Trust Management, Operational, State Claim). System must provide the ability to associate a receivable to a Consumer(s) (e.g., cost sharing with schools or another Regional Center, etc.).	Mandatory			
FI-114	System must provide the ability to enter data related to the source and use of restrictive funding (e.g., grants, Help Funds, Wellness Program, etc.) including funding source, amount, description, funding start date, and funding end date.	Mandatory			
FI-115	System must provide the ability to create manual receivables and recurring receivables.	Mandatory			
FI-116	System must automatically generate recurring Consumer receivables based on information contained in the Trust Management module. System must automatically generate a unique sequence number for a Consumer's receivable.	Mandatory			
FI-117	System must provide the ability to enter a receivable receipt date and receivable commit date for Consumer receivables (i.e., a Consumer's source of funds may be received in one month but must be associated with expenses incurred in a subsequent month).	Mandatory			
FI-118	System must provide the ability to commit receivable funds regardless if a receivable exists.	Mandatory			
FI-119	System must identify social security numbers on a source of fund cash receipt that do not match Consumers within CADDIS and generate an exceptions report.	Mandatory			
FI-120	System must automatically review and generate the required journal entry transactions to determine and create the state claim. System must provide the ability to create 'Draft' and 'Final' state claims. System must automatically generate the state claim forms (and support documents) for a user-defined period of time based on information in the Fiscal module. System must provide the ability to enter additional information needed to generate a state claim.	Mandatory			
FI-121	System must provide the ability to issue a credit against a state claim (e.g., to process the receipt of a third-party payment, etc.).	Mandatory			

VI.F.4.g. Fiscal: Fixed Assets

The requirements in this section include features and functionality that enables the recording and tracking of owned and leased fixed assets.

ID	Fiscal: Fixed Assets Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-122	System must provide the ability to enter asset type (e.g., computer equipment, etc.), description (e.g., name, model, serial number, etc.), acquisition date, cost, owned/leased indicator, and disposition (e.g., active, donated, etc.).	Mandatory			
FI-123	System must provide the ability to associate an asset with a purchase request number, Vendor number, Vendor name, and Consumer (if applicable).	Mandatory			
FI-124	System must provide the ability to enter Regional Center-generated and state-generated property control numbers, asset location, asset owner (e.g., Regional Center, State, etc.), and assignee.	Mandatory			
FI-125	System must provide the ability to enter asset additions and upgrades without requiring a new property control number.	Mandatory			
FI-126	System must provide the ability for each Regional Center to define and enter supplemental information regarding a fixed asset.	Mandatory			
FI-127	System must provide the ability to query on assets by type, property control number, asset owner, assignee, asset disposition, PO number, location, and/or Vendor name.	Mandatory			
FI-128	System must provide the ability to perform mass changes across multiple assets (e.g., change location of several assets, group of assets destroyed, etc.).	Mandatory			
FI-129	System must provide the ability to generate asset tracking-related reports including State-required asset tracking reports.	Mandatory			

VI.F.4.h. Fiscal: Budget Management

The requirements in this section addresses budget management including the ability for each Regional Center to define their budget, synchronize the budget across Regional Centers, and track actual vs. budgeted expenditures.

ID	Fiscal: Budget Management Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-130	System must provide the ability to define multiple budgets for a specific fiscal year. System must provide the ability to define and roll-up budgets by budget category (e.g., fund, cost center, department, etc.).	Mandatory			
FI-131	System must provide the ability for an authorized DDS user to enter the approved budget amount for each Regional Center into CADDIS. System must indicate to the user when a Regional Center's actual or planned expenses exceed the approved budget amount.	Mandatory			
FI-132	System must create annual encumbrances to carry over to new fiscal year based on approved and open purchase requests and purchase request dates.	Mandatory			
FI-133	System must provide the ability to perform cash-basis and accrual-basis budgeting.	Mandatory			
FI-134	System must provide the ability to copy a prior year budget to current year budget. System must provide the ability to copy prior year actual data to current year budget.	Mandatory			
FI-135	System must provide the ability to view on-line or print budget vs. actual financial data.	Mandatory			

ID	Fiscal: Budget Management Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-136	System must provide the ability to forecast consumer service needs, service expenditures, and operational expenditures. System must provide the ability to enter assumptions, 'what if' factors (e.g., COLA adjustment, caseload increase percentage, etc.), user-defined criteria (e.g., GL account, service codes, age groups, date ranges, fixed increases), and number of years to forecast.	Mandatory			
FI-137	System must provide the ability to perform trend analysis on consumer data, service expenditures, and operational expenditures.	Mandatory			
FI-138	System must provide the ability to generate expenditure reports by consumer type, service category, and service/sub code.	Mandatory			
FI-139	System must provide the ability to generate a report identifying the fiscal implication of a service rate change against the current, past and planned expenses.	Mandatory			
FI-140	System must maintain historical budget data.	Mandatory			

VI.F.4.i. Fiscal: Other Fiscal

The requirements in this section addresses miscellaneous fiscal activities including tracking loans made by a Regional Center, tracking contracts with vendors, performing cash management functions, and assisting in DDS audits of Regional Centers.

ID	Fiscal: Other Fiscal Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-141	System must provide the ability to enter loan related information including loan type (e.g., operational, lag, source of funds, Vendor, etc.), effective date, total loan amount, duration, payment frequency, and interest rate. If applicable, the system must automatically calculate the amortized payment amount and repayment schedule.	Mandatory			
FI-142	System must provide the ability to generate a loan statement that includes loan amount, loan purpose, re-payment history, and running balance.	Mandatory			
FI-143	System must provide the ability to track uncollected loans and generate a state claim as a write off expense.	Mandatory			
FI-144	System must provide the ability to generate loan delinquency letters and automatically track date letter was sent.	Mandatory			
FI-145	System must track loan history.	Mandatory			
FI-146	System must provide the ability to associate a Consumer loan to the Consumer's respective source of fund receivable (e.g., SSI, Veterans Administration, etc.). System must automatically release the loan obligation when the source of funds monies has been received.	Mandatory			
FI-147	System must provide the ability to import a bank-generated electronic reconciliation file and reconcile the data against CADDIS data. System must automatically identify data discrepancies and provide users the ability to correct CADDIS data.	Mandatory			
FI-148	System must provide the ability to generate cash management-related reports, including cash deposit slips and reconciliation reports.	Mandatory			
FI-149	System must provide the ability to enter Contract-specific information including Vendor number, Vendor name, description, contract number, type of contract/agreement (e.g., MOU, etc.), contract start/end date, rates, units of measure (e.g., hour, day, month, etc.), participation data collected? indicator, exclusivity terms, special terms and conditions, repayment terms, status of approval, and contract duration. System must provide the ability to track contract addenda.	Mandatory			
FI-150	System must provide the ability to track Consumers associated with a Service Provider-related contract.	Mandatory			

ID	Fiscal: Other Fiscal Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-151	System must provide the ability to rollover contracts from fiscal year to fiscal year.	Mandatory			
FI-152	System must provide the ability to track contract history.	Mandatory			
FI-153	System must provide the ability to generate contract-related letters and reports.	Mandatory			
FI-154	System must provide the ability to generate reports required to assist in state audits of Regional Centers. Samples are provided in the Bidder's Library.	Mandatory			

VI.F.4.j. Fiscal: Desirable Requirements

This section identifies the Desirable requirements associated with the Fiscal functional area. Two (2) points will be assigned if acceptable responses are provided for Desirable requirements.

ID	Fiscal: Desirable Requirements	Priority	Meets Req?	COTS Ratings	Ref. #
FI-155	System should provide the ability to upload current Medi-Cal CPT codes and SMA rates into CADDIS for on-line lookup and validation.	Desirable			
FI-156	System should provide the ability to print checks using blank paper (i.e., print micr on checks).	Desirable			

EXHIBIT VI-A

CUSTOMER REFERENCE FORM

(To be completed by Customer)
(Duplicate form for each Customer Reference)

Bidder's Name:	
Customer Name:	
Contact Person's Name:	
Contact Person's Title:	**Contact Person's Phone Number:**
Customer Address:	
Contractor's Firm Name (if different from Bidder's Name above):	
Project Name:	
Project Identification Name:	

Contracting Experience Statistics (Circle answer):

Project/contract terminated prior to successful conclusion?	Yes	No
Total Billings increased by more than ten percent (10%)?	Yes	No
Delivery schedule increased by more than ten percent (10%)?	Yes	No

Project Measurements: Please complete all applicable items.

Total estimated costs:_________________ Total actual costs:_________________
Total estimated hours:_________________ Total actual hours:_________________
Estimated start and completion dates:
From:_______________19______ To:_______________19______
Actual start and completion dates:
From: ______________19______ To:_______________19______
Software Maintenance Period.
From: ______________19______ To:_______________19______

1. **On a scale of 1 to 5, with 5 being *completely* satisfied, how satisfied were you with the contractor's overall performance with this project?** 1 2 3 4 5

2. **On a scale of 1 to 5, with 5 being *excellent,* how would you rate the contractor's ability to solve complex technical problems?** 1 2 3 4 5

3. **On a scale of 1 to 5, with 5 being *excellent*, how would you rate the quality and technical skill level of the staff that the contractor brought to the project?** 1 2 3 4 5

4. **On a scale of 1 to 5, with 5 being *worked extremely well with*, how well did the contractor work with your staff who were assigned to the project?** 1 2 3 4 5

5. **On a scale of 1 to 5, with 5 being *more than 100% of the defined requirements*, what percentage of the functional requirements did the contractor's system provide on this project?**

<75%	**75-84%**	**85-94%**	**95-100%**	**>100%**
1	2	3	4	5

Would you hire this contractor again? Yes No

EXHIBIT VI-A *(continued)*

CUSTOMER REFERENCE FORM

Bidder's Name:	
Briefly describe the work completed including the names of the individuals who performed the work. **If there is anything else that you care to share with us about your experience with this contractor that may influence our decision, please provide the information below, or on as many attached sheets as you need.** **Sheets attached? Yes No**	
Customer Contact Signature:	**Date**

EXHIBIT VI-B

PROJECT TEAM EXPERIENCE MATRIX

ROLE: PROJECT MANAGER

Candidate's Name: ____

Role Requirement

The Project Manager must have a minimum of ~~10~~ 7years of experience managing software development and implementation projects. The Bidder must provide a completed Bidder Project Team Experience Matrix and attach a resume that reflects the staff person's Project Management experience. The Project Manager experience must include the following:

1. Managing systems development projects;
2. Performing quality assurance activities;
3. Managing the implementation of a new system;
4. Utilizing structured project management methodology techniques; and
5. Utilizing structured Systems Development Life Cycle (SDLC) methodology techniques.

Projects Where Candidate Performed Role:

For each project experience listed, indicate the client name/contact, project name, start and end dates the candidate performed the role, the experience gained (reference item numbers above), and the duration of the experience.

Client Name Contact	Project Name	Dates	Experience Gained	Duration (Years)
e.g., Department of Health John Smith (212-555-9000)	*Project 1*	*01/96 – 12/98*	*1, 3, 5*	*3 years*
			Total Years of Experience in Role:	

EXHIBIT VI-B

PROJECT TEAM EXPERIENCE MATRIX

ROLE: TECHNICAL ARCHITECT

Candidate's Name: ____

Role Requirement

The Technical Architect must have a minimum of 5 years of experience designing and implementing technical infrastructures using the hardware, software, and network components identified in the Bidder's proposed CADDIS solution. The Bidder must provide a completed Bidder Project Team Experience Matrix and attach a resume that reflects the staff person's Technical Architect experience. The Technical Architect's experience must include the following:

1. Developing Technology Architecture plans;
2. Participating in the transition and conversion of the current environment to the new environment;
3. Implementing hardware components identified in the Bidder's proposed solution;
4. Implementing software components identified in the Bidder's proposed solution; and
5. Implementing network components identified in the Bidder's proposed solution.

Projects Where Candidate Performed Role:

For each project experience listed, indicate the client name/contact, project name, start and end dates the candidate performed the role, the experience gained (reference item numbers above), and the duration of the experience.

Client Name Contact	Project Name	O/S[1]	Dates	Experience Gained	Duration (Years)
e.g., Department of Health John Smith (212-555-9000)	*Project 1*	*Win NT 4.5*	*05/98 – 05/01*	*1, 2*	*3 years*
				Total Years of Experience in Role:	

[1] Include name of Operating System (O/S) and version.

EXHIBIT VI-B

PROJECT TEAM EXPERIENCE MATRIX

ROLE: DATABASE ADMINISTRATOR

Candidate's Name: ____

Role Requirement

The Database Administrator must have a minimum of 5 years of experience designing and implementing the Data Base Management Software (DBMS) identified in the Bidder's proposed CADDIS solution. The Bidder must provide a completed Bidder Project Team Experience Matrix and attach a resume that reflects the staff person's Database Administrator experience. The Database Administrator experience must include the following:

1. Developing logical data models;
2. Developing physical database structures;
3. Setting up and maintaining database tables in the DBMS proposed by the Bidder;
4. Setting and maintaining DBMS security/access tables in the DBMS proposed by the Bidder;
5. Tuning and maintaining the DBMS proposed by the Bidder; and
6. Developing Data Conversion Plans.

Projects Where Candidate Performed Role:

For each project experience listed, indicate the client name/contact, project name, start and end dates the candidate performed the role, the experience gained (reference item numbers above), and the duration of the experience.

~~**Experience as a Database Administrator**~~

Client Name Contact	Project Name	DBMS[2]	Dates	Experience Gained	Duration (Years)
e.g., Department of Health John Smith (212-555-9000)	***Project 1***	***Oracle 7.0***	***01/99 – 05/01***	***1, 5, 6***	***2.5 years***
				Total Years of Experience in Role:	

[2] Include name of DBMS and version.

EXHIBIT VI-B

PROJECT TEAM EXPERIENCE MATRIX

ROLE: SYSTEMS/BUSINESS ANALYST

Candidate's Name: ____

Role Requirement

The Systems/Business Analyst must have a minimum of 5 years of experience in assessing current systems and processing, defining business requirements and rules, and assisting in the design of software components (e.g., modules, screens/forms, and/or reports). The Bidder must provide a completed Bidder Project Team Experience Matrix and attach a resume that reflects the staff person's Systems/Business Analyst experience. The System/Business Analyst experience must include the following:

1. Assessing current systems;
2. Assessing current processes;
3. Developing and validating business requirements and business rules;
4. Assisting in the design of system components (e.g., modules, screens/forms, reports, etc.); and
5. Utilizing a structured Systems Development Life Cycle methodology.

Projects Where Candidate Performed Role:

For each project experience listed, indicate the client name/contact, project name, start and end dates the candidate performed the role, the experience gained (reference item numbers above), and the duration of the experience.

Client Name Contact	Project Name	Dates	Experience Gained	Duration (Years)
e.g., Department of Health Jane Smith (212-555-7777)	*Project 1*	*01/98 – 6/98*	*2,5*	*.5 years*
			Total Years of Experience in Role:	

EXHIBIT VI-B

PROJECT TEAM EXPERIENCE MATRIX

ROLE: APPLICATION DEVELOPER

Candidate's Name: ____

Role Requirement

The Applications Developer must have a minimum of 5 years of experience in developing software components, modules, screens/forms, and/or reports using the software language and Data Base Management Software (DBMS) identified in the Bidder's proposed CADDIS solution. The Bidder must provide a completed Bidder Project Team Experience Matrix and attach a resume that reflects the staff person's Applications Developer experience. The Application Developer experience must include the following:

1. Developing application programs and modules in the software language proposed by the Bidder (e.g., Visual Basic, C++, JAVA, etc.);

2. Implementing the reporting tool proposed by the Bidder (e.g., Crystal Reports, Microsoft Access, etc.);

3. Designing and developing standard reports, letters, and forms;

4. Utilization the DBMS proposed by the Bidder (e.g., Oracle, SQL Server, etc.); and

5. Utilizing a structured Systems Development Life Cycle (SDLC) methodology.

Projects Where Candidate Performed Role:

For each project experience listed, indicate the client name/contact, project name, start and end dates the candidate performed the role, the experience gained (reference item numbers above), and the duration of the experience.

Client Name Contact	Project Name	Software Language[3]	Dates	Experience Gained	Duration (Years)
e.g., Department of Health John Smith (212-555-9000)	***Project 1***	***Visual Basic 5.0***	***01/00 – 12/00***	***1, 4***	***1 year***
				Total Years of Experience in Role:	

[3] Include name of software language and version.

EXHIBIT VI-B

PROJECT TEAM EXPERIENCE MATRIX

ROLE: TESTER

Candidate's Name: ____

Role Requirement

The Tester must have a minimum of 5 years of experience in developing test cases and performing systems and integration testing using a structured testing approach. The Bidder must provide a completed Bidder Project Team Experience Matrix and attach a resume that reflects the staff person's Tester experience. The Tester experience must include the following:

1. Developing test plans;
2. Developing test cases;
3. Performing unit testing;
4. Performing systems integration testing;
5. Testing data conversion; and
6. Utilizing a structured Systems Development Life Cycle (SDLC) methodology.

Projects Where Candidate Performed Role:

For each project experience listed, indicate the client name/contact, project name, start and end dates the candidate performed the role, the experience gained (reference item numbers above), and the duration of the experience.

Client Name Contact	Project Name	Dates	Experience Gained	Duration (Years)
e.g., Department of Health John Smith (212-555-9000)	*Project 1*	*01/98 – 6/98*	*2*	*.5 years*
			Total Years of Experience in Role:	

EXHIBIT VI-B

PROJECT TEAM EXPERIENCE MATRIX

ROLE: TRAINER

Candidate's Name: ____

Role Requirement

The Trainer must have a minimum of 5 years of experience in developing training materials and conducting training classes for software. The Bidder must provide a completed Bidder Project Team Experience Matrix and attach a resume that reflects the staff person's Trainer experience. The Trainer experience must include the following:

1. Developing training curriculum for software training;
2. Developing training materials for software training;
3. Conducting software training classes for groups of ten (10) persons or more; and
4. Conducting training for the Bidder's proposed software solution.

Projects Where Candidate Performed Role:

For each project experience listed, indicate the client name/contact, project name, start and end dates the candidate performed the role, the experience gained (reference item numbers above), and the duration of the experience.

Client Name Contact	Project Name	Dates	Experience Gained	Duration (Years)
e.g., Department of Health Joe Smith (212-555-1111)	*Project 1*	*01/98 – 6/99*	*2*	*1.5 years*
			Total Years of Experience in Role:	